



# Community Action Agency Contractor Implementation Manual

Updated December 2020



**OKLAHOMA**

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## **Helpful Links**

### **All Programs**

#### **OKGrants Grant Management System**

<https://grants.ok.gov>

#### **ODOC OKGrants Resource Page (walkthroughs, FAQ and troubleshooting)**

<http://okcommerce.gov/community/okgrants/>

#### **IRS 501(c)(3)**

<https://www.irs.gov/charities-non-profits/charitable-organizations/exemption-requirements-section-501c3-organizations>

#### **2 CFR 200**

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

#### **Robert's Rules of Order**

<http://www.robertsrules.org/>

#### **74 O.S. Standard 257:1-1-2**

<http://www.oscn.net/applications/oscn/deliverdocument.asp?id=457202&hits=8548+8547+5703+2492+2491+>

#### **OK Open Meeting Act - 25 O.S. §301-314**

<http://www.odl.state.ok.us/lawinfo/docs/2006-LibraryLaws PartD.pdf>

#### **OK State Travel Reimbursement Act - 74 O.S. §500.1**

[https://www.ok.gov/DCS/Central\\_Purchasing/Agency\\_Travel/Policy\\_&\\_Procedures/](https://www.ok.gov/DCS/Central_Purchasing/Agency_Travel/Policy_&_Procedures/)

#### **United States General Services Administration:**

[http://www.gsa.gov/portal/content/104877?utm\\_source=OGP&utm\\_medium=print-radio&utm\\_term=perdiem&utm\\_campaign=shortcuts](http://www.gsa.gov/portal/content/104877?utm_source=OGP&utm_medium=print-radio&utm_term=perdiem&utm_campaign=shortcuts)

#### **Freedom of Information Act 5 USC 552**

<https://www.justice.gov/oip/blog/foia-update-freedom-information-act-5-usc-sect-552-amended-public-law-no-104-231-110-stat>

## **CSBG Program Links**

#### **Economic Opportunity Act of 1964, Pub. L. 88-452**

<http://www.gpo.gov/fdsys/pkg/STATUTE-78/pdf/STATUTE-78-Pg508.pdf>

#### **Community Services Block Grant Act**

[https://www.acf.hhs.gov/sites/default/files/ocs/leg\\_title\\_icommunity\\_services\\_block\\_grant\\_act\\_10271998.pdf](https://www.acf.hhs.gov/sites/default/files/ocs/leg_title_icommunity_services_block_grant_act_10271998.pdf)

**CSBG IM No. 116 Correction Action, Termination, or Reduction of Funding**

<http://www.acf.hhs.gov/programs/ocs/resource/no-116-corrective-action-termination-or-reduction-of-funding>

**Coats Human Services Reauthorization Act of 1998**

<http://www.gpo.gov/fdsys/pkg/PLAW-105publ285/html/PLAW-105publ285.htm>

## **Weatherization Links**

**Code of Federal Regulations - 2 CFR 200**

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

**2 CFR 910**

<https://www.ecfr.gov/cgi-bin/text-idx?SID=603839ff9f638565f4dab514877ab3f2&node=pt2.1.910&rgn=div5/>

**Title 10 CFR 440**

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl)

**Health and Safety Guidance**

EPA Oklahoma radon information link <http://www.epa.gov/radon/states/oklahoma.html>

EPA regulations and on Lead-Based paint <http://www2.epa.gov/lead>

**HUD link Lead Hazard Control**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/healthy\\_homes](http://portal.hud.gov/hudportal/HUD?src=/program_offices/healthy_homes)

**Weatherization Program Guidance (WPNs and Memos)**

<https://www.energy.gov/eere/wipo/weatherization-program-guidance>

**OSHA Regulations Lead CFR 29 (1910.1025)**

[https://www.osha.gov/pls/oshaweb/owadisp.show\\_document?p\\_table=STANDARDS&p\\_id=10030](https://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=STANDARDS&p_id=10030)

## **Section 1 – Requirements for All Programs**

### **Req. 101 – ROMA**

**I - REQUIREMENTS FOR ALL PROGRAMS  
REQUIREMENT NO. 101  
RESULTS ORIENTED MANAGEMENT AND ACCOUNTABILITY (ROMA)  
EFFECTIVE JANUARY 1, 2017**

**I. CONTRACTUAL REQUIREMENT**

- A. ROMA is a complete management and accountability framework that is focused on results and continuous improvement. There are five parts to the ROMA cycle: assessment, planning, implementation, achievement of results, and evaluation. All subgrantee recipients must adopt and use the ROMA framework for all programs, both ODOC and non ODOC funded.
- B. Subgrantee recipients are required to track and report client outcomes for all ODOC funded and all CSBG supported programs.

**II. PROCEDURES**

**A. ROMA TRAINING**

Every subgrantee recipient is required to have all staff and board members trained in ROMA, unless special permission has been granted by ODOC. The training required depends upon the staff or board position. Every subgrantee recipient should have an updated ROMA Training Form [Form 16] on file that has been previously submitted and approved by ODOC. If changes are made to the training plan, or new staff is hired, an updated form should be submitted to ODOC. If a subgrantee recipient has any ROMA training needs or questions about ROMA training, they should send an email to their ODOC liaison.

**1. INTRO TO ROMA TRAINING (8 hour presentation)**

All leadership and management positions who are involved in strategic planning must receive this training. All other key personnel responsible for ROMA implementation within the subgrantee recipient will also be required to receive this training. This training can ONLY be provided by a Nationally Certified ROMA Trainer (NCRT) or those working towards certification, under the supervision of an NCRT.

**2. ROMA IN A NUTSHELL (10-15 minutes, self-paced)**

All remaining staff, not receiving Intro to ROMA training, will be required to receive this training. This training can be self-administered, and does not require an NCRT to be present. This training is available in two formats – electronic or paper. See attachments 2 a-b.

**3. ROMA BOARD TRAINING (20 minutes, self-paced)**

All board members are required to receive this training. This training can be done as a full board or individually. This training can be self-administered and does not require an

NCRT to be present. Board members must sign a statement, to be kept in their board file, stating they have received board training. See attachments 1a-b.

## B. ROMA IMPLEMENTATION

Every subgrantee recipient is required to submit a ROMA Implementation Plan [Form 17] with their annual CSBG application, as part of the Community Action Plan. The ROMA Implementation Plan assists the subgrantee recipient in documenting their implementation of the full ROMA cycle. If dates or changes are made to the plan through the calendar year, the revised plan should be submitted to ODOC.

The ROMA implementation framework that subgrantee recipients, at a minimum, must follow is outlined below:

### 1. Assessment

- a. Must have a clear anti-poverty mission statement that is periodically reviewed by the board
- b. Must conduct a Community Needs Assessment (CNA) at least every three years to assess resources, and the causes and conditions of poverty, within the service community
- c. Must use the CNA to identify needs to be addressed in the community at the family, agency, and community levels

### 2. Planning

- a. Must develop a Community Action Plan that is outcome based, anti-poverty focused and ties directly to the CNA
- b. Must use the information gathered during the assessment process to inform a strategic plan
- c. Must use the needs identify in the CNA to develop measureable local outcomes and outcome indicators, and those that directly correspond with the six ROMA National Goals:
  - i. Low-income people become more self-sufficient
  - ii. The conditions in which low-income people live are improved
  - iii. Low-income people own a stake in their community
  - iv. Partnerships among supporters and providers of service to low-income people are achieves
  - v. Agencies increase their capacity to achieve results
  - vi. Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.
- d. Must plan programs, activities, and services based on the needs identified in the CNA, at the same level as the need, in order to achieve the planned outcomes
- e. Must set projected success rates for all outcomes
- f. Must determine what documentation will be collected to measure each outcome, how often data will be collected, and by whom.
- g. Must submit three planning logic models, with projected success rates, (for top three needs addressed) along with the annual CSBG application.

### 3. Implementation

- a. Must implement programs and services as planned in the Community Action Plan and Strategic Plan.
- 4. Achievement of Results
  - a. Must have a system to track and report client outcomes and outputs (at family, agency, and community levels) for all ODOC and non ODOC funded programs in an ongoing manner. For subgrantee recipients using CAPTAIN, data should be entered by the 20th of each month for all programs. For subgrantee recipients submitting paper reports, data should be submitted to ODOC as approved. All subgrantee recipients should have their data regularly reviewed by board and executive management.
  - b. Must submit the CSBG Information Survey (Annual Report) each year in a timely, complete, and accurate manner.
  - c. Must compare results achieved with projected success rates
  - d. Must submit at least three final logic models (for top three needs addressed) with actual results with the next year's CSBG application.
- 5. Evaluation
  - a. The ROMA process should be integrated throughout the subgrantee recipient and data collected shared with the subgrantee recipient's board of directors on a regular basis for evaluation.
  - b. Results collected throughout the year should be used to annually update the Community Action Plan and Strategic Plan and for continuous program improvements.

### III. FORMS

- 1. ROMA Training Plan (available in both Word and Excel) **[Form 16]**
- 2. ROMA Implementation Plan (available in both Word and Excel) **[Form 17]**

### IV. ATTACHMENTS

- 1. ROMA Board Training
  - a. 15 minute video ([link](#))
  - b. 9 Handouts
    - i. History of ROMA and Community Action\_Board **[Attachment 40]**
    - ii. ROMA Cycle\_Board **[Attachment 41]**
    - iii. Six National Goals\_Board **[Attachment 42]**
    - iv. Family, Agency, Community Levels\_Board **[Attachment 43]**
    - v. Outcomes vs. Outputs Activity\_Board **[Attachment 44]**
    - vi. Outcomes vs. Outputs Answers\_Board **[Attachment 45]**
    - vii. Establishing Targets and Measuring Performance\_Board **[Attachment 46]**
    - viii. ROMA Logic Model\_Board **[Attachment 47]**
    - ix. ROMA and Baseball\_Board **[Attachment 48]**
- 2. ROMA in a Nutshell Training
  - a. Electronic Format
    - i. Nutshell PowerPoint\_Electronic Version **[Attachment 49]**
  - b. Paper Format



- i. Nutshell PowerPoint\_Paper Version **[Attachment 50]**
- ii. Nutshell Outcomes vs. Outputs Activity **[Attachment 51]**
- iii. Nutshell Outcomes vs. Outputs Answer Sheet [Attachment 52]**

*ROMA Materials adapted from the National Peer-to-Peer ROMA Training and Certification Project*

## Req. 102 – Guidelines for Personnel Policies

### **I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 102 GUIDELINES FOR PERSONNEL POLICIES EFFECTIVE SEPTEMBER 1, 2014**

#### **I. CONTRACTUAL REQUIREMENT**

Subgrantee Recipients shall establish and adhere to clear and equitable personnel policies.

#### **II. PROCEDURES**

##### **A. GENERAL ADMINISTRATION: Personnel policies shall include:**

1. Statement on travel and travel allowances for employees that conforms to Oklahoma Department of Commerce, Office of Community Development (ODOC) Requirement 106.
2. Records to be included in personnel files:
  - a. Employee time sheets documenting hours worked and identifying the amount of time spent on each program.
  - b. Leave records that fully account for all absences. If tracked or maintained electronically, records shall be provided upon request.
  - c. Individual personnel files that include but are not limited to: Job description, pay adjustment authorizations, and application for employment.
  - d. Annual employee evaluations.
3. Statement regarding accessibility to personnel files.
4. Provision for certification of time and attendance reports.
5. If leave records and time sheets are maintained electronically, agency personnel policies shall include the procedures to be utilized for employees to enter their time and leave and for the supervisory approval process.

##### **B. EMPLOYMENT: Personnel policies shall include statements that:**

1. Describe employee categories such as full-time, probationary, etc.
2. Describe employee performance appraisal.
3. Prohibit discrimination on the basis of race, color, national origin, age, sex, religion, familial status or disability.
4. Prohibit conflicts of interest and nepotism.
  - a. Nepotism shall refer to the employment or supervision of any person who is a relative within the third degree of a Board Member, Executive Director, or appointing authority. Relatives may not be employed, supervised, or contracted with when they are to be paid with ODOC funds or when the Board Member, Executive Director, or appointing authority exercises jurisdiction or control over said department or program.
  - b. Relatives signing contracts with the agency prior to the election or selection of the Board Member, Executive Director, or appointing authority may complete the contracted obligation prior to termination. However, such contracts shall not be renewed.
  - c. For purposes of this requirement "relative within the third degree" is defined as follows:

|                     |                              |
|---------------------|------------------------------|
| Spouse              |                              |
| Parents             | Spouse's Parents             |
| Children            | Spouse's Children            |
| Brother/Sister      | Spouse's Brother/Sister      |
| Grandparents        | Spouse's Grandparents        |
| Grandchildren       | Spouse's Grandchildren       |
| Aunt/Uncle          | Spouse's Aunt/Uncle          |
| Nephew/Niece        | Spouse's Nephew/Niece        |
| Great-Grandparents  | Spouse's Great-Grandparents  |
| Great-Grandchildren | Spouse's Great-Grandchildren |

- (1) Spouse of someone related to Board Member by marriage is eligible for employment.
- (2) Spouse of someone related to Board Member by blood is ineligible for employment.
- (3) "Children" includes adopted children and step-children.

5. Permit employment of persons with criminal records when the Subgrantee Recipient determines the criminal record does not disqualify the applicant for the position under consideration.
6. Salaries and benefits are consistent with prevailing local wage compensation practices, provided no employee shall receive less than minimum wage. Add CSBG wage study wording. Note: CSBG does not require a survey to be completed regularly – best practices suggest every five years. Some agencies set their own timeline.

C. FRINGE BENEFITS: Personnel policies shall include statements which:

1. Describe provisions for annual leave, sick leave, family leave, military leave, leave without pay, and jury duty.
2. List holidays to be observed by the Subgrantee Recipient.
3. List other benefits.

D. EMPLOYEE CONDUCT: Personnel policies shall include statements which:

1. Prohibit the receipt of gifts, services, or other compensation by employees from persons receiving benefits or services from the Subgrantee Recipient.
2. Describe limitations on political activity.

E. GRIEVANCE PROCEDURE: Personnel policies shall include a written description of procedures for the prompt review, impartial consideration and equitable disposition of employee grievances. These procedures shall also include a policy that shall be used in the case of a grievance against the Executive Director.

### III. FORMS

None.

## **Req. 103 – Affirmative Action**

**I - REQUIREMENTS FOR ALL PROGRAMS**  
**REQUIREMENT NO. 103**  
**AFFIRMATIVE ACTION REQUIREMENTS EFFECTIVE**  
**DATE SEPTEMBER 1, 2014**

**I. CONTRACTUAL REQUIREMENT**

No person shall, on the grounds of race, color, national origin, religion, sex, age, familial status or disability, be excluded from participation in, be denied benefits of or be subjected to discrimination under any program, project or activity funded in whole or in part with funds made available by ODOC.

**II. PROCEDURES**

Each Subgrantee Recipient shall submit annually to ODOC an Affirmative Action Plan that has been approved by its Board of Directors. The Affirmative Action Plan shall include the following:

- A. Equal employment policy.
- B. Responsibilities for Implementation.
- C. C. Evaluation of previous efforts.
- D. Established goals and timetables.
- E. Identification of problem areas.
- F. Procedures for dissemination of the Plan.
- G. Internal evaluation procedures.
- H. Grievance procedures.
- I. Identification of the Equal Employment Opportunity (EEO) Officer. (Neither the Executive Director nor the Personnel Officer may serve as the EEO Officer.)

**III. FORMS**

None.

## Req. 104 – Applicant Appeals

### I - REQUIREMENTS FOR ALL PROGRAMS

#### REQUIREMENT NO. 104

#### APPLICANT APPEALS

EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall establish and maintain an applicant appeals procedure to ensure equal access to services and resources available under programs funded by ODOC.

#### II. PROCEDURES

- A. The notice of right to appeal shall appear on all application forms used to determine applicant eligibility for any services or resources provided with funds received from ODOC.
- B. The Subgrantee Recipient's Executive Director shall initiate the appeals procedure, upon request by an applicant, within ten (10) days after the request.
- C. After all local appeal procedures have been exhausted, an applicant may appeal the Subgrantee Recipient's decision to ODOC. In such cases, the Subgrantee Recipient and appellant shall provide ODOC with all relevant documentation.
- D. The applicant appeals procedure shall guarantee that each person seeking services shall:
  - 1. Have the right to file formal application for services or resources upon request.
  - 2. Be afforded an opportunity to have private and confidential interviews pertaining to the case.
  - 3. Not be denied assistance on the basis of race, color, gender, creed, religion, age, political preference, familial status or disability.
  - 4. Receive timely approval or disapproval of the application.
  - 5. Receive written notification of appeal and appeal procedures, including notices that:
    - a. All aggrieved parties shall be afforded a reasonable opportunity for a fair hearing.
    - b. The applicant or the representative of the applicant shall have access to records relevant to the appeal process.
    - c. The applicant shall have the right to a timely determination and prompt notice of hearing decisions.

#### III. FORMS

None

## Req. 105 – Prohibited Political Activities

### I - REQUIREMENTS FOR ALL PROGRAMS

#### REQUIREMENT NO. 105

#### PROHIBITED POLITICAL ACTIVITIES

EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipient employees, volunteers and Board Members, while performing Subgrantee Recipient activities and functions, shall adhere to restrictions against certain types of political activity, as specified in the Community Services Block Grant (CSBG) Act

<http://codes.lp.findlaw.com/uscode/42/106>, State legislation and other related requirements.

#### II. PROCEDURES

A. Subgrantee Recipient may not:

1. Use official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for office.
2. Directly or indirectly coerce, attempt to coerce, command or advise a State or local officer or employee to pay, lend or contribute anything of value to a party, committee, organization, agency or person for political purposes.

B. Subgrantee Recipients may not provide voters and prospective voters with transportation to the polls or provide similar assistance in connection with an election or any voter registration activity. This also prohibits the use of agency transit vehicles for these purposes.

C. Under 74 O.S. Standard 257:1-1-2:

<http://www.oscn.net/applications/oscn/deliverdocument.asp?id=457202&hits=8548+8547+5703+2492+2491> Subgrantee Recipients may not:

1. Use program funds for any political purpose.
2. Permit the use of equipment or premises that are purchased or leased with program funds for a political purpose.
3. Discriminate against or in favor of any employee or beneficiary of the program because of his or her political beliefs.
4. Require an employee or beneficiary to disclose his or her political affiliation.
5. Offer employment, promotion or benefits under the program as a reward for the support or defeat of any political party or candidate for public or party office; nor may any Subgrantee Recipient create or threaten to create a disadvantage in employment or deprivation of benefits as a penalty for such support.

#### III. FORMS

None

## Req. 106 – Lobbying Activity

### I - REQUIREMENTS FOR ALL PROGRAMS

#### REQUIREMENT NO. 106

#### LOBBYING ACTIVITY

EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipient employees, volunteers and Board Members, while performing Subgrantee Recipient activities and functions, shall adhere to restrictions against certain types of lobbying, as specified in the Community Services Block Grant (CSBG) Act, <http://codes.lp.findlaw.com/uscode/42/106>. IRS 501(c)(3) [http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/Exemption-Requirements-Section-501\(c\)\(3\)-Organizations](http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/Exemption-Requirements-Section-501(c)(3)-Organizations), State legislation and other related requirements.

#### II. PROCEDURES

- A. Subgrantee Recipients may conduct the following lobbying-type activity if the cost is otherwise allowable:
1. Lobbying of any person relating to local legislation, i.e., city ordinances, but not to local ballot initiatives or referenda.
  2. Lobbying of Federal Executive Branch official, so long as it is not an attempt to influence a decision to sign or veto Federal or State legislation.
  3. Lobbying to influence State legislation in order to directly reduce cost or to avoid material impairment of the CAA's authority to perform the grant or contract.
  4. Providing a technical and factual presentation of information on a topic directly related to the performance of a grant or contract through hearing testimony, statements or letters to the Congress or State Legislature in response to a documented request. Costs related to this activity for travel, lodging or meals are unallowable.
  5. Nonpartisan, balanced and factually supported research and analysis of legislation or proposed legislation prepared for the CAA and/or the general public, so long as it does not include a "call to action."
  6. Individuals employed by the CAA or connected in some other way may lobby in connection with legislation, as individuals, so long as (s)he does so on his or her own time and does not make use of federally funded CAA facilities.
- B. Subgrantee Recipients may **not** conduct the following lobbying activities:
1. Attempt to influence the introduction, enactment or modification of any Federal or State legislation through:
    - a. Communications with Federal or State legislators or their staff.
    - b. Efforts to influence State or local officials to engage in similar lobbying activity.
    - c. Communications with government officials or employees in connection

with a decision to sign or veto legislation.

- d. Urging members of the general public to lobby or take other action in connection with State or Federal legislation (“grass roots lobbying”).

- 2. Subgrantee Recipients must keep records of lobbying expenditures, which should show appropriate, i.e., private or unrestricted, funding sources to determine their allowability. Time logs need not be kept for any employee who engages in lobbying less than 25% of his or her time.

- C. Subgrantee Recipients are also restricted from the use of both private and Federal funds for grant-related lobbying, i.e., any attempt to influence an officer or employee of a Federal agency or member or employee of Congress, through a communication with or appearance of such person in connection with the awarding of any federal grant, contract or loan.

### **III. FORMS**

None.



## Req. 107 – Travel and Per Diem

### I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 107 TRAVEL AND PER DIEM REQUIREMENTS EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall follow State Travel Reimbursement Act (STRA), Title 74 O.S., Section 500.1, et seq., except as noted, when using ODOC contract(s) funds. However, when a Subgrantee Recipients has existing travel policies more restrictive than ODOC's or when a grant contains more restrictive limitations, the more restrictive limitations shall apply.

State Travel Reimbursement Act:

[https://www.ok.gov/DCS/Central Purchasing/Agency Travel/Policy & Procedures/](https://www.ok.gov/DCS/Central_Purchasing/Agency_Travel/Policy_&_Procedures/)

United States General Services Administration:

[http://www.gsa.gov/portal/content/104877?utm\\_source=OGP&utm\\_medium=print-radio&utm\\_term=perdiem&utm\\_campaign=shortcuts](http://www.gsa.gov/portal/content/104877?utm_source=OGP&utm_medium=print-radio&utm_term=perdiem&utm_campaign=shortcuts)

Subgrantee Recipients shall maintain and adhere to written travel regulations and procedures, which have been approved by their Board of Directors when using contract funds. Such procedures and regulations shall be consistent with (or more restrictive than) these requirements.

Subgrantee Recipient payments for travel by employees, consultants, board members or other persons approved and authorized to perform official travel for the Subgrantee Recipient shall be authorized in advance and supported by properly approved documents covering both travel and, if applicable, per diem. Such payments shall be in conformance with the standards set forth in this document.

Any reference, in this document, to agency, state or department also applies to any agency that is a private corporation or public agency established pursuant to the Economic Opportunity Act of 1964, Pub. L. 88-452, <http://www.gpo.gov/fdsys/pkg/STATUTE-78/pdf/STATUTE-78-Pg508.pdf> which establishes Community Action Agencies or any agency (public or private) contracted by the Oklahoma Department of Commerce to perform services.

Agency employee or official means management, staff, board members and other persons approved and authorized by the Community Action Agency Executive Director to perform official travel for the agency.

Forms and number of copies referenced in these procedures should be complied with in general, i.e., the forms shall be essentially similar, particularly when/where authorizations/approvals are required, dates and/or where other pertinent travel documentation is required.

Where specific agencies, departments, divisions or other offices are referenced, your agency should reference the appropriate department, division, or office within your own agency policies or practices.

## **II. FORMS**

None

## Req. 108 – Procurement Policies

### I - REQUIREMENT FOR ALL PROGRAMS REQUIREMENT NO. 108 PROCUREMENT PROCEDURES EFFECTIVE January 1, 2017

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall comply with the requirements set forth in 2 C.F.R. 200 as applicable, [http://www.ecfr.gov/cgi-bin/text idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

In addition, Subgrantee Recipients shall comply with the procurement requirements set forth in [10 C.F.R 440](#) for WAP and [10 C.F.R 910](#) for contracts originating from funds provided by the U.S. Department of Energy (DOE).

#### II. PROCEDURES

##### A. DEFINITIONS

1. Responsible Bidders/Vendors: Bidders/Vendors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as bidder integrity, record of past performance, financial and technical resources or accessibility to other necessary resources. Such indicators should be included as part of the specifications and organized for evaluation.
2. Responsive Bids/Offers: Bids/Offers submitted that satisfactorily meet the requirements as specified by the Subgrantee Recipients.
3. Adequate Notice: Sufficient time prior to the stated opening of bids for a bidder to respond to the request for bid or proposal. For the purposes of this Requirement, the minimum adequate notice required shall be at least two weeks from the date of first public advertisement.
4. In the Aggregate: "In the Aggregate" is a reference to purchases of the same product more than one time during the contract period. An example would be the purchase of copy paper. Procurement would be for one time, with multiple purchases; therefore, the "aggregate cost" would be the total of all planned purchases of copy paper during the contract period.

##### B. STANDARDS

The procurement systems for Subgrantee Recipients shall be written and include, at a minimum, the following standards:

1. Assurance that all procurement transactions shall be conducted in a manner to provide, to the maximum extent practicable, open and free competition.

2. Positive efforts shall be made to utilize small and minority-owned businesses.
3. Contracts shall be made only with responsible bidders/vendors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. 2 CFR 215.13 requires that no subaward or contract be made with certain parties that are debarred, suspended, or other excluded from or ineligible for participation in Federal programs or activities.
  - a. To comply with this requirement, subgrantee recipients must exercise due diligence, prior to entering into a final obligation, that the proposed contractor is not ineligible to receive Federal funds. This can be completed by searching for the proposed contractor at <http://www.sam.gov> via their Vendor Name or by DUNS number. An agency can also pull the Exclusions Extract within SAM. A user guide for obtaining the Exclusions Extract is in the attachments of this manual.
  - b. The Subgrantee Recipient must retain evidence within their files that due diligence was performed to ensure the proposed contractor was able to be paid with Federal funds. This will be verified by ODOC during annual monitoring.

C. SMALL PURCHASE PROCEDURES (for purchases less than Twenty-Five Thousand Dollars (\$25,000)):

Small purchases shall be exempt from the advertised process. Subgrantee Recipients shall conduct purchasing procedures in a manner to provide, to the maximum extent practical, open and free competition. Some form of cost or price analysis shall be made and documented in all procurement files. Small purchase procedures are as follows:

1. Purchases under \$5,000: Informal price comparison.
2. Purchases \$5,001 - \$15,000: Three telephone bids.
3. Purchases \$15,001 - \$25,000: Three or more written price quotations.

D. ADVERTISED PROCUREMENT (for purchases of Twenty-five thousand dollars (\$25,000) or more): Procurement records shall include bid selection or rejection and the basis for the cost or price. All documents must be retained in the Subgrantee Recipient's files.

1. Specifications: Prior to advertisement for bids, the specifications should be completed in the form of a bid packet containing the following components:
  - a. A clear, accurate description of the product or service being procured;
  - b. All requirements the bidder must fulfill in order for the bid to be evaluated;
  - c. Evaluation criteria used to determine the successful bidder.
2. Solicitation: A notice is to be advertised and distributed as follows:
  - a. Provision of a notice to all known prospective bidders via first-class mail at least 20 days prior to the scheduled bid opening; and

- b. Publication in two (2) consecutive weekly issues of a general circulation newspaper. The first publication must be at least twenty (20) days prior to the date set for opening bids.

3. Selection:

- a. All factors relevant to the procurement shall be included in the bid packet so the selection can be made from those bids that are responsive to the solicitation and awarded to the lowest responsive and responsible bidder.
  - (1) There must be two (2) or more responsive and responsible bids. When only one (1) responsive and responsible bid (single source) is received and all good faith efforts to solicit and maximize the number of bidders have been accomplished, documentation of all solicitation efforts must be maintained in Subgrantee Recipients' files. Subgrantee Recipients shall ensure that the identified market is large enough to solicit responses from enough responsible bidders to create competitive offers/prices.
  - (2) The procurement must lend itself to a firm, fixed-price contract so the selection can be made principally on price.
  - (3) Bids must be opened at a public (open) meeting. During the solicitation, it is advisable to note the date, time and location of the bid opening.
- b. Once the bidder submits a price, the dollar value is not subject to any type of negotiation or change.

4. Documentation:

- a. All solicitation efforts must be documented in the recipient files and should include items such as dated newspaper clippings.
- b. Files must contain a copy of specifications and evaluation criteria, including evaluation criteria forms completed for each bid.
- c. If other than the lowest responsive bid is selected, the Subgrantee Recipient must document reason for selection in procurement records.

E. SOLE SOURCE PROCUREMENT

Sole source occurs when particular goods, materials, or services are available from only one source. All sole source procurements of \$5,000 or more must be approved in advance and in writing by ODOC. The Subgrantee Recipient shall submit a written request to utilize sole source procurement, provide a brief description of the goods or services to be procured and justification for the sole source procurement.

## F. EMERGENCY PROCUREMENT

When the urgency for the goods or services will not permit a delay due to competitive procurement, ODOC may authorize emergency procurement. Examples of urgent need are emergency plumbing or electrical work. Authorization may be obtained through a telephone request. If the Subgrantee Recipient cannot obtain telephone approval prior to procuring the goods or services, a written request for approval shall be submitted immediately after the procurement takes place.

## G. INVENTORY AND DISPOSITION

1. Equipment/Non-Expendable Property: Any equipment or non-expendable property acquired with a usable life expectancy of more than one year shall comply with this Requirement. See, also, the requirements below and the requirements set forth in 2 C.F.R. 200 as they relate to property management and disposition. Any equipment with an expected usable life of less than one year shall follow the requirements listed under Paragraph B, Materials and Supplies. See, also, certain requirements listed under Lease/Purchase Agreements below in Paragraph D, which may be applicable.

a. Inventory Requirements: All furniture and equipment costing \$500 or more purchased with ODOC contract funds must be kept on inventory at the Subgrantee Recipient's agency. By the end of each calendar year, a comprehensive inventory list, by program, must be submitted to ODOC. Subgrantee Recipient's records should contain all the information mentioned in paragraph (1) below.

(1) Subgrantee Recipients shall maintain an inventory file for all equipment or non-expendable property with a life of more than one (1) year and costing \$500 or more.

The records shall include a description of the property, a serial number or other identification number, the source of funding for the property (including the Federal Award Identification Number), the ODOC contract number, who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

(2) A physical inventory of all equipment and non-expendable property purchases made with ODOC contract funds shall be taken and the results reconciled with the equipment records once a year.

(3) Staff who maintains the inventory should not conduct the yearly inventory activities. A definitive line must be present between these duties.

- (4) Weatherization and any other equipment purchased by ODOC must be maintained in working condition and the Subgrantee Recipient is responsible for any maintenance/repairs, loss, or theft.
- (5) The Subgrantee Recipient shall maintain the up-to-date inventory within its CONFAX. [See Requirement 113]
- b. Disposition of equipment (including vehicles) or supplies: The Subgrantee Recipient shall make written request to ODOC when disposing of a vehicle, equipment, or supplies, purchased with Federal funds. ODOC will then provide specific disposition instructions.

#### H. MATERIALS AND SUPPLIES

This section refers to expendable materials and supplies with an expected usable life of less than one year. The cost of the materials or supplies shall be based on the aggregate amount of the purchases, planned or potential, over a one-year period and not based on a one-time purchase that may be recurrent.

##### 1. Procurement Procedures:

- a. Expendable materials and/or supplies with an expected usable life of less than one year costing less than twenty five thousand dollars (\$25,000) shall be purchased using Small Purchase procedures. {Reference Section II C}
- b. The purchase of expendable materials and supplies with an expected life of less than one year costing above twenty five thousand dollars (\$25,000) must use Advertised Procurement procedures. {Reference Section II D}
- c. Inventory Requirements: Subgrantee Recipients shall establish and maintain an inventory system to control materials and supplies purchased in quantity.

#### I. SERVICES

Services, for the purposes of this section, refer to services provided by outside professionals or consultants and include such items as accounting or payroll services, employee training, legal consultations, audit services and maintenance-related services such as plumbing, equipment, HVAC or electrical work.

##### 1. Procurement Procedures: For the purchase of services costing:

- a. Less than \$5,000: Informal price comparisons.
- b. \$5,001 through \$15,000: Three telephone bids. Subgrantee Recipient completes Telephone/Request for Quotation.
- c. \$15,001 through \$25,000: Subgrantee Recipient will be required to obtain three (3) or more written price quotations from vendors. The vendor completes Request for Quotation (Form 18).
- d. Above \$25,000: Advertised Procurement procedures. Procurement of Services

costing more than \$25,000 must be approved in advance by ODOC, using Contractor Request for Contract Services (Form 21).

2. Contract Periods: All contracts for services must have a specific contract period. If provided for in the original procurement, the original contract may be extended, by mutual agreement of the parties, up to five (5) years.

#### J. RENTAL OF REAL PROPERTY

1. If a Subgrantee Recipient is planning to move (rental) or is planning to rent additional space, the following procurement procedures must be used for real property; and based on the full term of the lease:
  - a. Less than \$5,000: Informal price comparison.
  - b. \$5,001 through \$15,000: Three telephone bids.
  - c. \$15,001 to \$25,000: the Subgrantee Recipient will be required to obtain three or more written price quotations from vendors. The vendor completes Request for Quotation (Form 18).
  - d. \$25,000 and up: Use Advertised Procurement procedures.
2. A written lease or rental agreement shall be maintained on file. The agreement shall specify the terms of the agreement, landlord/tenant responsibilities and termination and renewal procedures. The lease may be extended, by mutual agreement of the parties, up to five (5) years.

#### K. PROGRAM INCOME

1. Program Income, as defined by 2 CFR 200.80 is gross income earned by the recipient that is directly generated by supported activity or earned as a result of federal award activities, during the award period. Program Income includes income from fees for services performed, the use of rental or real personal property acquired under the federally funded project, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and from payments of principal and interest on loans made with federal funds. Program Income does not include rebates, credits, discounts, etc., or interest earned on any of them.
  - a. **For the WAP Program, the income from these activities must be used to complete additional dwelling units in accordance with DOE rules;** it must be treated as an addition to program funds and is subject to the same rules as appropriated funds, according to DOE.
    - (1) Program Income must be accounted for separately and expended before any other program funds are spent. Program Income is tracked as a separate line item and is not included in ODOC contract budgets or expenditure reports.



- (2) Verification of Program Income, received within an annual budget period, must be submitted to an ODOC Program Representative (liaison) for approval.
- (3) Accounting records verifying the use of Program Income must be made available to ODOC staff upon request.

- b. For all federal funds, proceeds from the sale of real property, equipment (including vehicles), or supplies are not program income;** such proceeds are handled in accordance with 2 CFR 200.311 Real Property, 2 CFR 200.313 Equipment, and 2 CFR 200.314 Supplies, as applicable. Property owner (i.e. landlord) contributions and leveraged resources are NOT considered program income for the purposes of WAP.

### **III. FORMS**

1. Telephone/Request for Quotation (Form 18)
2. Contractor Request for Contract Services – Over \$25,000 (Form 21)

### **IV. RESOURCES**

1. [2 CFR 200.313 Equipment](#)
2. [2 CFR 200.314 Supplies](#)

## Req. 109 – Financial Management

### I - REQUIREMENTS FOR ALL PROGRAMS

#### REQUIREMENT NO. 109

#### FINANCIAL MANAGEMENT

EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall maintain records and accounts, including property, personnel and financial records that properly document and account for all contract funds. All record keeping shall be in compliance with State and Federal regulations 2 C.F.R. as applicable, [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl) and generally accepted accounting principles.

#### II. PROCEDURES

##### A. FINANCIAL SYSTEM

1. Subgrantee Recipients shall ensure the financial system used to administer ODOC contracts conforms to the following standards:
  - a. Accurate, current and complete disclosure of the financial results of the ODOC programs is provided in accordance with specified State and Federal requirements.
  - b. Records are maintained that adequately identify the source and application of funds for each ODOC-supported activity, including any applicable matching funds.
  - c. Effective control and accountability is maintained for all funds, property and other assets.
  - d. Accounting records are maintained with adequate supporting documentation.
  - e. Internal controls are established to eliminate fraud and abuse.
2. Subgrantee Recipients may request ODOC review of existing procedures to determine compliance with this entire Requirement.
3. Subgrantee Recipients shall implement and maintain a written accounting procedure manual that adequately describes specific procedures, processes and requirements necessary for the Subgrantee Recipients to be in conformance with standards 1.a through 1.e as listed above.
4. The accounting manual should include any procedures or processes unique to the Subgrantee Recipient or infrequent but relevant to the accounting system.

##### B. ACCOUNTING SYSTEM REQUIREMENT

Subgrantee Recipients shall establish and maintain a separate set of self-balancing accounts for each ODOC contract, in accordance with written procedures, which will permit the Subgrantee Recipients to properly account for all funds in conformance with generally accepted accounting principles. The following requirements shall apply:

1. Books of original entry shall be utilized to account for contract funds and any required matching funds.
2. Accounting records shall include the cash receipts journal, cash disbursement journal, general journal and general ledger.
  - a. The accounting records shall utilize a payroll register for any employees paid with ODOC funds.
  - b. The general ledger shall include separate expenditure accounts for each approved budget line item as shown in the contract budget or subsequent revisions.
3. A monthly trial balance shall be performed when the books are closed each month. The trial balance shall become a part of the accounting records.
4. Monthly Expenditure Reports submitted to ODOC every month, **regardless of whether there are expenditures or not**, must be taken from the original books of account and be directly traceable to the general ledger expense accounts.
5. Any costs shared between programs must be properly allocated. The method of allocation must be generally accepted, reasonable and documented. An agency cost allocation plan should be established.
6. Accounting records must always be posted up-to-date.
7. All receipts recorded in the receipts log shall be reconciled regularly with the cash receipts journal, general ledger and bank statement.
8. All general ledger entries must be clearly traceable to appropriate source documentation.
9. Appropriate source documentation is defined as any approved original documents that clearly indicate costs allowable and allocable to the program. Examples of supporting documentation include: Original invoices, fee contracts, progress billings and employee time sheets.
10. All paid invoices must be defaced by indicating the check number, date paid and "PAID" on the invoice. Copies of the purchase order and check shall be attached to the invoice before filing.
11. All supporting documentation must be filed in an orderly manner in accordance with the Subgrantee Recipient's written accounting procedures.
12. Accounting files shall include:
  - a. Copies of all Monthly Expenditure Reports and Requests for Funds submitted to ODOC.
  - b. All correspondence relating to financial management of the contract.
  - c. Employee time sheets showing hours worked and charged to the ODOC contract when applicable.
13. All manual accounting records shall be maintained in ink for permanence.
14. Correction fluid (whiteout, etc.) shall not be used to cover transpositions or other errors in the original books of account. A single line should be drawn through the mistake or error and the correct figure should be recorded in ink. This will allow clear identification of the error. **Errors found after the books are closed for any given month must be corrected by general journal entry in the month the error is found.** This also applies to

- electronic (computer software) accounting systems.
15. Bank statement reconciliations shall be performed on a monthly basis.  
The individual performing the reconciliation shall initial and date it when complete.
  16. Electronic Signatures – Agency will have a policy to ensure only appropriate staff have access to electronic signatures.
  17. Passwords – Phones, computers, etc.- Agency will have a policy to ensure only appropriate staff have access to electronic signatures.

#### C. INTERNAL CONTROL REQUIREMENTS

Subgrantee Recipients shall implement the following controls to safeguard all funds and assets of the ODOC contract:

1. Blank checks and credit cards must be maintained in locked cabinets or files.
2. Undelivered checks should be kept in a locked cabinet or safe until delivery.
3. When a signature stamp is used for checks or correspondence, access to the signature stamp should be limited to authorized personnel and the stamp should be maintained in a lockable cabinet or drawer.
4. Deposits of ODOC funds shall be made by someone other than the accountant or bookkeeper maintaining the ODOC accounting records.
5. Incoming checks should be stamped "For Deposit Only" by the person opening the mail and recorded in a receipts log that identifies the check number, amount and source of funds.
6. Bank reconciliations should be performed by someone other than the accountant responsible for ODOC accounting records or for making deposits.

#### D. CASH MANAGEMENT REQUIREMENTS

Subgrantee Recipients shall implement the following to ensure proper cash management of Federal and State funds:

1. ODOC funds cannot be placed in petty cash funds.
2. All ODOC funds received shall be promptly deposited in the proper bank account. The Subgrantee Recipients shall designate through the use of an Electronic Funds Transfer Authorization form, the appropriate account to be used for any program utilizing electronic transfer of funds.
3. Subgrantee Recipients shall not maintain excessive cash on hand.
  - a. Reimbursement Contracts: Subgrantee Recipients shall have on file documentation for expenditures reported on any Request for Reimbursement. Funds paid on a reimbursed basis are considered expended when the Monthly Expenditure Report is submitted.
  - b. Cash Advances: For those programs that allow for advances, the Subgrantee Recipients shall request only an amount sufficient to cover immediate anticipated expenditures. Requests for funds may be made at any time funds

are needed throughout the month. No funds will be released for contracts with delinquent expenditure reports. Expenditure reports shall be submitted each month, whether or not expenses were incurred [(Section II (B) (4))].

4. The Subgrantee Recipients shall verify cash on hand on a daily basis and is responsible for coordinating with its bank to determine when electronic transfer of funds has occurred.
5. All vendor invoices must be verified for accuracy. The reviewer should initial and date the invoice.
6. All vendor invoices that allow a discount for early payment should be paid in the discount period if administratively feasible.
7. All checks paid with ODOC funds must be pre-numbered.
8. All checks paid with ODOC funds must be completely filled out before they are signed.
9. Voided checks must be filed with copies of checks or other accounting documentation for accountability.

**E. ALLOWABLE/UNALLOWABLE COSTS**

Costs charged to each program shall be in accordance with 2 C.F.R. as applicable, [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl) The Subgrantee Recipients must ensure that all costs are properly accounted for in accordance with the following definitions:

1. Operation costs may include any costs directly associated with the program activity. Examples of operations costs include but are not limited to: Personnel costs (payroll and fringe benefits) for operational staff time, travel, supplies, equipment and space costs directly related to the program.
2. Administrative costs are those costs indirectly related to a program activity. Examples of administrative costs include but are not limited to: Accounting and auditing costs, legal fees, liability insurance and fidelity bond costs, personnel costs (payroll and fringe benefits) for staff time, travel, supplies, and equipment and space costs indirectly related to the program.

**III. FORMS**

None.

## **Req. 110 – Training and Technical Assistance**

### **I - REQUIREMENTS FOR ALL PROGRAMS**

#### **REQUIREMENT 110**

#### **TRAINING AND TECHNICAL ASSISTANCE EFFECTIVE**

**SEPTEMBER 1, 2014**

#### **I. CONTRACTUAL REQUIREMENT**

Training and technical assistance will be provided for Subgrantee Recipients staff members and Board Members by ODOC to ensure the continued quality performance of ODOC Subgrantee Recipients and to ensure performance of activities useful to advance the purpose of the contracts. The Subgrantee Recipients shall ensure the attendance of any person performing services under the contract whose presence is requested.

#### **II. PROCEDURES**

##### **A. DEFINITIONS**

Training and technical assistance will be considered separate and distinct functions in accordance with the following definitions.

1. Training:

- a. Training is an instructional or educational event on a general topic that provides the opportunity for participants to gain information, increase program management skills and define program objectives.
- b. Training events are designed for groups to share knowledge and experience.

2. Technical Assistance:

- a. Technical assistance is a problem-solving activity designed to provide Subgrantee Recipients with an immediate resolution, or approach to a resolution, of a specific problem or set of problems.
- b. Technical assistance, providing resources and information, may be held on-site, at ODOC offices, by telephone or by written communication.

B. Request for training shall be based on the learning needs for a designated job category with specific topics and objectives or desired results clearly stated.

C. Requests for technical assistance shall be based on a specific problem in a designated job category and shall involve Subgrantee Recipient's staff affected by the problem and staff involved in developing resolutions. It will also be based on a request for resources or information related to a specific problem or need.

- D. Training may be requested by contacting your ODOC representative by phone or email. You may be requested to identify needs, topics, expected objectives/results; participants expected and preferred delivery method. Suggested dates and location must be submitted to confirm telephone requests.
- E. Technical assistance may also be requested by contacting your ODOC representative by phone or email. You may be asked to identify the problem, persons affected by the problem who are involved in developing resolutions, preferred delivery method and suggested dates and location, or lists, information, and other resources needed.
- F. Requests may also be initiated by the Subgrantee Recipients based on internal evaluation or needs assessment.

### **III. FORMS**

None.

## Req. 111 – Conflict of Interest

### I - REQUIREMENTS FOR ALL PROGRAMS

#### REQUIREMENT 111

#### CONFLICT OF INTEREST

EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

No persons who have exercised any functions or responsibilities with respect to activities assisted with ODOC funds may obtain a financial interest in or benefit from an ODOC activity or have an interest in any contract, subcontract or agreement, either for themselves or for those with whom they have family or business ties, during their tenure or for one year thereafter.

##### A. PERSONS COVERED

The conflict of interest provisions apply to any person who is an employee, agent, consultant, officer or elected or appointed official of the agency receiving ODOC funds.

##### B. EXCEPTIONS

Upon the written request of the Subgrantee Recipient, ODOC may grant an exception on a case-by-case basis when it determines the exception will serve to further the purposes of the ODOC programs and the effective and efficient administration of the Subgrantee Recipient's program or project. An exception may be considered only after the Subgrantee Recipients has provided an assurance that:

1. A disclosure of the nature of the conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made.
2. An opinion of the Subgrantee Recipient's attorney that the interest for which the exception is sought would not violate State or local law.

##### C. FACTORS TO BE CONSIDERED FOR EXCEPTIONS

In determining whether to grant a requested exception after the agency has satisfactorily met the requirements of paragraph B of this Requirement, ODOC will consider the cumulative effect of the following factors, where applicable:

1. Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available;
2. Whether the person affected is a member of a group or class of low-income persons intended to be the beneficiaries of the assisted activity. If that person is a member of such a class or group, the exception will permit such person to receive generally the same



interests or benefits as are being made available or provided to the group or class;

3. Whether the affected person has withdrawn from his or her functions or responsibilities or the decision-making process with respect to the specific assisted activity in question;
4. Whether the interest or benefit was present before the affected person was in a position as described in Paragraph A of this Requirement;
5. Whether undue hardship will result either to the Subgrantee Recipient or the person affected when weighed against the public interest served by avoiding the prohibited conflict; and
6. Any other relevant considerations.

## **II. FORMS**

None.

## Req. 112 – Reporting

### REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 112 REPORTING EFFECTIVE October 1, 2019

#### I. CONTRACTUAL REQUIREMENTS

- A. Subgrantee Recipients shall furnish to ODOC narrative, statistical, and financial reports related to the contract on forms and at such times as may be required.

#### II. TERMS AND DEFINITIONS

##### Advance

An Advance is a request for funds, it does not mean that the funds have to be requested in advance. Funds can be requested in advance of expenditures incurred, but they can also be requested after (as reimbursement).

##### Reimbursement Claim

A Reimbursement Claim is a payment request for state contract expenditures that have already been incurred by the Subgrantee Recipient. Reimbursement Claims cannot exceed the actual expenditures or the cumulative one-twelfth (1/12th) year to date amount or whichever is less.

##### Quarterly Reporting Periods

DOE WAP and DHS LIHEAP weatherization contracts have quarterly reporting requirements. The reporting periods are the same for all weatherization required quarterly reports:

| Reporting Period   | Quarterly Report Due Date |
|--------------------|---------------------------|
| October – December | January 20th              |
| January – March    | April 20th                |
| April – June       | July 20th                 |
| July – September   | October 20th              |

#### III. PROCEDURES

- A. Advance payment requests should be submitted five working days before needed. Advances will not be processed if current expenditures reports are not received by the due dates listed below.
- B. **An expenditure report must be submitted each month, whether or not funds have been expended.**
- C. Budgets and Budget Revisions must be submitted and approved prior to implementing expenditure changes.
- D. Reports shall be submitted to ODOC in an OKGrants form (unless otherwise noted) as listed in the program reporting requirement tables below. All expenditure and advances must adhere to Requirement 108 (D) Cash Management Requirements.

| U.S. Office of Community Services - Community Service Block Grant<br>Contract Period: January 1 – September 30 of following year |               |  |                  |
|--|---------------|--|------------------|
| Report Name  | Due Date(s)   | Frequency                                      | Reporting Period |
| Expenditure Report   | 20th          | Monthly  | Previous Month   |
| Advance  | As Needed     | As Needed                                      | As Needed        |
| Closeout Certification   | November 30th | Annually 60 calendar days from end of contract | Contract Period  |

| State Appropriated Funds for Community Action Agencies<br>Contract Period: July 1 – June 30 |             |  |                  |
|---|-------------|--|------------------|
| Report Name   | Due Date(s) | Frequency                                      | Reporting Period |
| Reimbursement Claim   | 20th        | Monthly  | Previous Month   |
| Closeout Certification  | August 30th | Annually 60 calendar days from end of contract | Contract Period  |

| State Appropriated Funds for Community Action Agencies – Head Start<br>Contract Period: July 1 – June 30 |             |   |                  |
|--|-------------|---|------------------|
| Report Name  | Due Date(s) | Frequency   | Reporting Period |
| Reimbursement Claim  | 20th        | Monthly   | Previous Month   |
| Annual Performance Report <b>[Form 1]</b>  | August 30th | Annually uploaded as a part of Closeout Certification | Contract Period  |
| Closeout Certification   | August 30th | Annually 60 calendar days from end of contract        | Contract Period  |

| OK Department of Human Services LIHEAP Weatherization<br>Contract Period: October 1 – September 30 |   |   |   |
|--|---|---|---|
| Report Name  | Due Date(s)   | Frequency   | Reporting Period  |
| Expenditure Report   | 20th  | Monthly   | Previous Month  |
| Advance  | As Needed   | As Needed   | As Needed   |
| Progress Report  | 10th  | Monthly   | Previous Month  |
| OKGrants Quarterly Report  | January 20th<br>April 20th<br>July 20th<br>October 20th | Four times during the contract period   | See Section II, Quarterly Reporting Periods                       |
| Health and Safety Measure Report <b>[Form 49]</b>  | January 20th<br>April 20th<br>July 20th<br>October 20th | Four times during the contract period; submitted as an upload to the OKGrants Quarterly Report (see above)          | See Section II, Quarterly Reporting Periods                       |
| State Historic Preservation Report   | November 30th   | Annually  | Contract Period   |
| Outreach Performance Report<br><i>[required only if Program Outreach funds were spent]</i>         | November 30 <sup>th</sup>                               | Annually 60 calendars days from end of contract; submitted as an upload to the OKGrants Closeout Certification page | Without Contract Period, according to ODOC approved Outreach Plan |
| Closeout Certification   | November 30th   | Annually 60 calendar days from end of contract  | Contract Period   |

| U.S. Department of Energy – Weatherization Assistance Program |   |   |  |
|---|---|---|--|
| Contract Period: April 1 – March 31                           |   |   |  |
| Report Name   | Due Date(s)   | Frequency   | Reporting Period                                       |
| Expenditure Report  | 20th  | Monthly   | Previous Month   |
| Advance   | As Needed   | As Needed   | As Needed  |
| Progress Report   | 10th  | Monthly   | Previous Month   |
| OKGrants Quarterly Report                                     | July 20th<br>October 20th<br>January 20th<br>April 20th               | Four times during the contract period   | See Section II, Quarterly Reporting Periods            |
| <del>Health and Safety Measure Report [Form 49]</del>         | <del>July 20th<br/>October 20th<br/>January 20th<br/>April 20th</del> | <del>Four times during the contract period; submitted as an upload to the OKGrants Quarterly Report (see above)</del> | <del>See Section II, Quarterly Reporting Periods</del> |
| State Historic Preservation Report                            | September 20th<br><br>May 31st  | Twice during the Contract Period  | April – August<br><br>September - March                |
| Closeout Certification  | May 31st  | Annually; 60 calendar days from end of contract   | Contract Period  |

| State - Rx for Oklahoma           |  |   |                  |
|-----------------------------------|--|---|------------------|
| Contract Period: July 1 – June 30 |  |   |                  |
| Report Name                       | Due Date(s)                                    | Frequency                                       | Reporting Period |
| Reimbursement Claim               | 20th   | Monthly   | Previous Month   |
| Quarterly Programmatic Reports    | See RX for Oklahoma Request for Proposal (RFP) |   |                  |
| Closeout Certification            | August 30th                                    | Annually; 60 calendar days from end of contract | Contract Period  |

## VI. FORMS

|         |                                  |
|---------|----------------------------------|
| Form 1  | SAF HS Annual Performance Report |
| Form 49 | H&S Measure Report               |

## V. ATTACHMENTS

|               |                        |
|---------------|------------------------|
| Attachment 37 | WX Reporting Checklist |
|---------------|------------------------|

## VI. RESOURCES

- OKGrants Resources <https://okcommerce.gov/community/OKGrants/>

## Req. 113 – Requirements for Boards of Directors

### I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 113 REQUIREMENTS FOR BOARDS OF DIRECTORS EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients receiving funds under CSBG shall comply with the requirements for Boards of Directors specified in 675 (c) (3) of the CSBG Act, <http://codes.lp.findlaw.com/uscode/42/106> provisions of the contract and assurances provided by the Subgrantee Recipient.

#### II. PROCEDURES

The following standards shall be incorporated into the By-Laws of all Boards of Directors:

##### A. BOARD SIZE

Boards shall consist of no fewer than 12 nor more than 36 members. The Subgrantee Recipient's By-Laws should specify the number of Board Members.

##### B. COMPOSITION

Board composition must be one-third public sector, at least one-third representatives of the low-income community and the remainder composed of representatives of the private sector.

1. Public Sector: One-third of the members of the Board shall be elected public officials currently holding office or their representatives. If, however, the number of elected officials reasonably available and willing to serve is less than one-third of the membership, appointed public officials may be counted in meeting the one-third requirement.
  - a. The term "elected public official" refers to a duly elected representative of the State, a municipality, county, tribal government or State political subdivision.
  - b. The term "appointed public official" refers to employees of public agencies and members of boards and commissions established under State and/or local law who have responsibility and authority to determine and implement the policies of those agencies, boards or commissions.
  - c. An elected or appointed public official may designate another person to serve on the Board as their representative as long as the representative is entitled to act on behalf of the public official represented with regard to the business of the Board.

2. Low-Income Sector: At least one-third of the Board shall be a democratically selected representative of low-income persons residing in the service area.
3. Private Sector: The remainder of the members shall be officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the service area.

#### C. SELECTION PROCEDURE

The selection procedures must be in writing and documented to show Board involvement in the selection of the public and private sector members and the involvement of the low-income community in the selection of low-income members.

1. Alternates for the public, low-income and private sectors may be selected and may have voting privileges provided they are selected in the same manner as the Board member they alternate for. The Agency must have an established By-Law provision that allows alternates to vote in the absence of the regular member and to be counted as part of the quorum requirements.
2. Vacancies on the Board shall be filled in a manner consistent with the original election/selection process. Agencies are encouraged to fill all vacancies as soon as possible, preferably within two months. Alternates may fill the remainder of any term for the sector they were selected to represent.

#### D. COMMITTEES AND SUBCOMMITTEES

Committees and subcommittees may be established by the Board to accomplish the business of the Board and the Agency provided:

1. Actions of any committee are ratified by the Board;
2. Standards regarding meeting and quorum requirements as stated later in this Requirement (H.2-7) apply to all Board subgroups; and
3. Decisions relating to the acceptance/denial of a specific applicant for weatherization services made by a duly composed Weatherization Policy Advisory Council need not be ratified by the Board except in instances of an applicant appeal that necessitates Board action.

#### E. TERMS OF SERVICE

Each term shall not exceed three years and each member must be removed at the end of each term. The member may be re-selected/appointed or a new member may be selected/appointed.

This procedure must be in accordance with "Selection Procedures" previously stated. Limitations on the number of terms a member may serve shall be determined by the Board of Directors and must be in writing as part of the Agency's By- Laws.

F. REMOVAL OF MEMBERS

1. Public officials or their representatives must be removed from the Board when the public official no longer retains the designated office/position. An individual appointed by a body of public officials, such as a commission or council, shall be removed from the Board upon change in composition of the appointing body. The public sector representative may be reappointed or a new representative may be appointed by the newly-selected/elected public official(s).
2. The Board shall establish and include in its By-Laws the grounds and procedures for the removal of low-income and private sector representatives.

G. BOARD COMPENSATION

1. Unless compensated from another source, Board members may be reimbursed for travel costs incurred in attending Board or committee meetings.
2. Reimbursement for travel shall be in accordance with current travel provisions. H.

MEETING AND QUORUM REQUIREMENTS

1. The Board of Directors shall meet as often as the Agency or Board's business may require but not less than six (6) Board meetings shall be held within any 12-month period.
2. The required quorum shall be more than 50 percent of the current total membership of the Board.
3. In the absence of specific rules of order, Robert's Rules of Order <http://www.robertsrules.org/> shall apply.
4. The Board shall provide its members with a notice of and the agenda for all meetings in advance of the meeting date.
5. The Board shall keep minutes for each meeting that include a sign-in sheet, record of votes by members on each motion and a record of absences, categorized as excused or unexcused.
6. Minutes of the previous meeting shall be distributed to all members before the next meeting and shall be made available to the public upon request.
7. All Board meetings shall be in compliance with the Oklahoma Open Meeting Act, 25

I. CODE OF CONDUCT

A Code of Conduct shall be established to ensure the appropriate conduct by members of the Board. Such Code shall prohibit the promotion of or involvement in nepotism, conflict of interest and discriminatory practices.

J. POWERS, RESPONSIBILITIES AND ROLE OF THE BOARD

The Board is to be the governing policy-making entity of the Agency.

1. Powers and Responsibilities: The powers and responsibilities of the Board shall include but not be limited to:

- a. Appointing an Executive Director;
- b. Evaluating the Executive Director annually;
- c. Determining the rules of procedures for the Board;
- d. Determining the policies under which the Board and Agency shall operate;
- e. Determining, within regulations and policies, the major fiscal, personnel and program policies;
- f. Reviewing and approving all programs and expenditures;
- g. Considering and approving all program proposals and budgets;
- h. Enforcing compliance with all conditions on grants;
- i. Determining overall program plans and priorities;
- j. Determining the use of all discretionary money;
- k. Compliance with the Oklahoma Open Meeting Act, 25 O.S. §301, et seq., and 25 O.S. §§301-314, as revised; <http://www.odl.state.ok.us/lawinfo/docs/2006-LibraryLaws-PartD.pdf>
- l. Compliance with the Code of Conduct;
- m. Review the agency's mission statement at least every five years and ensure the mission addresses poverty and the agency's program and services are in alignment with the mission
- n. Ensure the agency's community action plan is outcome based, anti-poverty focused and ties directly to the Community Needs Assessment
- o. Ensure the agency has a written succession plan in place for the CEO/ED approved by the board that contains procedures for covering an emergency, unplanned short-term absence as well as the process for filling a permanent vacancy
- p. Review the agency's annual audit and address all findings

2. Role of the Board: The role of the Board shall include but not be limited to:

- a. Being a catalyst for positive change in the community;



- b. Bringing the problems and needs of the community to the Board for discussion;
- c. Looking at options for solving some of the problems or fulfilling the needs of the community;
- d. Examining issues affecting the quality of life in the community;
- e. Raising money;
- f. Serving as an advocate for clients and being a catalyst for institutional change in institutions that serve them;
- g. Serving as a link between the Board of Directors and the people or groups represented;
- h. Serving as a good public relations advocate for the programs, projects and activities of the Agency;
- i. Recruiting volunteers and space for programs and activities; and j. Mobilizing resources for the entire community.

**K. LIMITATIONS OF THE BOARD**

Individual Board members do not have the authority to direct, coerce or in any way influence the actions of the Agency staff.

**L. BOARD FILES**

Selection documentation for Board files must be maintained in writing for each seated member and should contain a minimum of:

Public and Private:

- 1. A letter of request from the agency to the entity providing the Board member.
- 2. A letter from the entity to the agency providing the name of the chosen member.
- 3. A copy of agency Board minutes showing Board involvement in the selection of the member.

Low-Income:

- 1. A letter of request from the agency to the entity providing the Board Member.
- 2. Democratic selection documents such as a public posting, newspaper clippings, agenda, open meeting minutes, sign-in sheets, or ballots showing a democratic selection process.
- 3. A letter to the agency providing the name of the chosen member.

**III. FORMS.**

None

## Req. 114 – CONFAX

### I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT 114 CONFAX EFFECTIVE JANURARY 1, 2017

#### I. CONTRACTUAL REQUIREMENT

- A. Subgrantee Recipients shall submit information as required to document contract compliance.
- B. Subgrantee Recipients shall maintain a Community Action Agency Implementation Manual as official policy for the administration of programs.

#### II. PROCEDURES

##### A. CONFAX

All CONFAX documents shall be kept current as per the guidelines below. All CONFAX documents shall include effective dates. If CONFAX items are paperless within an agency or uploaded to the Subgrantee Recipients's website, a link to the documents may be submitted in lieu of the documents themselves. **Documents or an updated link shall be submitted upon any revision.**

Following is a list of required documents to be submitted. Any necessary forms are provided annually in the CSBG Application.

##### **Submit with annual CSBG application and as updated:**

- Board Membership Roster
- Organization Chart
- By-Laws

##### **Submit annually and as updated:**

- Affirmative Action Plan
- Equipment Inventory List (purchased with ODOC funds)

##### **Submit as updated:**

- Articles of Incorporation
- Personnel Policies
- Board Committee Membership Lists
- List of all satellite offices, including address and telephone number

##### **Submit within 30 days after board meeting:**

- Board packets, approved board minutes (signed by the authorized board representative and including the sign-in sheet and voting record)

##### B. SUBGRANTEE RECIPIENT'S IMPLEMENTATION MANUAL

1. Agencies must ensure proper staff access to the online Subgrantee Recipient's Community Action Agency Implementation Manual, or
2. Agencies wishing to maintain a hard copy of the manual shall ensure that it is maintained in an orderly manner with each manual change inserted promptly.

### **III. FORMS**

None

## Req. 115 – Revisions to Budgets and Program Plans

### I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 115 BUDGET AND PROGRAM PLAN REVISIONS EFFECTIVE SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENTS

In accordance with 2 C.F.R. 200 as applicable, [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl). Subgrantee Recipients are required to report deviations from budget and program plans, and request prior approvals for budget and program plan revisions.

Contracts with the Oklahoma Department of Commerce/ Community Development (ODOC/CD) require that revisions in work program activities which result in revisions to the budget line items of (+) or (-) 10% shall be submitted for approval by authorized staff.

#### II. PROCEDURES

Subgrantee Recipients shall request prior approval from ODOC/CD for one or more of the following program or budget related reasons:

- A. If expenditures year to date will change a line item budget of \$1,000 or more by +/- 10%, a revised budget is required.
- B. If the line item budget is at or under \$1,000 and expenditures year to date are in excess of 50% of the budget line item, a revised budget is required.
- C. If there is a change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior approval), a written justification is required.
- D. If there is a change in the key person specified in the application or award document a written statement describing the change is required.
- E. If the budget includes costs that require prior approval in accordance with 2 C.F.R. as applicable, [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl) submit the request in writing.
- F. If the agency wants to transfer funds allotted for training allowances (i.e. direct payment to trainees) to other categories of expense, a written justification is required.
- G. Unless described in the application and funded in the approved awards, the sub award transfer or contracting of any work under an award must receive prior written approval of ODOC. This provision does not apply to the purchase of supplies, material, equipment, or

general support services.

H. Budgets may not be revised after the end of the contract period.

### **III. FORMS**

None.

## Req. 116 – Records Retention

### I - REQUIREMENTS FOR ALL PROGRAMS

#### REQUIREMENT NO. 116

#### RECORDS RETENTION EFFECTIVE

SEPTEMBER 1, 2014

#### I. CONTRACTUAL REQUIREMENT

In accordance with 2 C.F.R. as applicable, [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl) Subgrantee Recipients will retain records in the manner outlined below.

#### II. PROCEDURES

- A. Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. The only exceptions are the following:
  - a. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings have been resolved and final action taken;
  - b. Records for real property and equipment acquired with Federal funds shall be retrained for three years after final disposition;
  - c. When records are transferred or maintained by the Federal awarding agency, the three-year retention requirement is not applicable to the recipient;
  - d. Indirect cost rate proposals, cost allocation plans, etc. as specified below(Section F) and;
  - e. The retention period can be longer based upon advice of legal counsel or professional accountants or auditor
- B. Copies of the original records may be substituted for the original records if authorized by the Federal awarding agency.
- C. The Federal awarding agency shall request transfer of certain records to its custody from recipients when it determines that the records possess long term retention value. However, in order to avoid duplicate recordkeeping, a Federal awarding agency may make arrangements for recipients to retain any records that are continuously needed for joint use.
- D. The Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to the award, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

- E. Unless required by statute, no Federal award agency shall place restrictions on recipients that limit public access to the records of recipients that are pertinent to an award, except when the Federal awarding agency can demonstrate that such records shall be kept confidential and would have been exempted from disclosure pursuant to the Freedom of Information Act (5 U.S.C. 552) <http://www.justice.gov/oip/blog/foia-update-freedom-information-act-5-usc-sect-552-amended-public-law-no-104-231-110-stat> if the records had belonged to the Federal awarding agency.
- F. Indirect cost rate proposals, cost allocation plans, etc. – Section (a) and (b) below apply to the following types of documents and their supporting records: Indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).
  - a. If submitted for negotiation - If the recipient submits to the Federal awarding agency or the subrecipient submits to the recipient the proposal, plan, or other computation to form the basis for negotiation of the rate, then the three-year retention period for its supporting records starts on the date of such submission.
  - b. If not submitted for negotiation - If the recipient is not required to submit to the Federal awarding agency or the subrecipient is not required to submit to the recipient the proposal, plan, or other computation for negotiation purposes, then the three-year retention period for the proposal, plan or other computation and its supporting records starts at the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.

### **III. FORMS**

None.

## Req. 117 – CSBG Organizational Standards

### I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 117 CSBG ORGANIZATIONAL STANDARDS EFFECTIVE JANUARY 1, 2017

#### I. CONTRACTUAL REQUIREMENT

CSBG organizational standards provide a standard foundation of organizational capacity for all CSBG Eligible Entities (subgrantee recipients). The Federal Office of Community Services' Information Memorandum (IM) 138 provides direction to States and subgrantee recipients on establishing organizational standards by FY 2016 and includes the final wording of the standards developed by the OCS-funded organizational standards Center of Excellence (COE).

The COE-developed organizational standards are comprehensive and were developed by and for the CSBG Network through the work of the CSBG Working Group. The standards work together to characterize an effective and healthy organization while reflecting the vision and values of Community Action and the requirements of the CSBG Act.

#### II. PROCEDURES

ODOC understands that it will take time to fully implement all of the standards. Through the below process, subgrantee recipients must show what progress they are making towards meeting each standard.

##### A. Annual Self-Assessment

By April 30 of each year, subgrantee recipients will complete and submit to ODOC a Community Action Partnership Organizational Standards Agency Self-Assessment Tool.

##### B. Liaison review - Calendar Year 2017

Using the Community Action Partnership Organizational Standards state assessment tool, ODOC's most current CSBG Organizational Standards Interim State Guidance and Resources and the Community Action Partnership Glossary of Terms for the Organizational Standards, ODOC liaisons will review the subgrantee recipient's most current self-assessment and, through desk and on-site monitoring visits, will validate whether the subgrantee recipient has accurately assessed the meeting of each standard.

The annual monitoring report and the 2017 Technical Assistance Plan (TAP), identifying unmet standards, will be provided to subgrantee recipients. Subgrantee recipients will use the TAP to identify activities and timelines leading to compliance with the unmet standards. Through the completed TAP and conversations with the subgrantee recipient, ODOC liaisons will monitor a subgrantee recipients' progress towards meeting each standard.

##### C. Technical Assistance Plans (TAP) and Quality Improvement Plans (QIP)



During the assessment process, if a State finds a subgrantee recipient is not meeting a standard or set of standards, the State's response will depend on the circumstances. In cases where the subgrantee recipient may be able to meet the standard in a reasonable time frame contingent on some targeted technical assistance, the State and the subgrantee recipient may develop a technical assistance plan to target training and technical assistance resources and outline a time frame for the subgrantee recipient to meet the standard(s). If appropriate in other situations, the State may initiate action in accordance with section 678C of the CSBG Act (42 U.S.C. § 9915), including the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress.

#### **D. Corrective Action**

As long as the State is confident that a subgrantee recipient is moving toward meeting standards, under a technical assistance plan, QIP, or other oversight mechanism, the State should not initiate action to terminate or reduce funding.

The failure of a subgrantee recipient to meet multiple standards may reflect deeper organizational challenges and risk. In those cases, a State must determine whether it may be necessary to take additional actions, including reducing or terminating funding, in accordance with CSBG IM 116 (Corrective Action, Termination, or Reduction of Funding), issued May 1, 2012.

### **III. FORMS**

1. Standard 4.3 NCRI or NCRT Involvement Verification **[Form 15]**

### **V. RESOURCES**

1. CSBG Organizational Standards Interim State Guidance and Resources (most current)
2. 2017 Organizational Standards Technical Assistance Plan
3. [Community Action Partnership Organizational Standards State Assessment Tool PDF](#)
4. [Community Action Partnership Organizational Standards State Assessment Tool Word](#)
5. [Community Action Partnership Glossary of Terms for the Organizational Standards](#)
6. [OCS IM 138](#)
7. [OCS IM 116](#)

## **Section 2 – CSBG Program**

### **Req. 201 – Community Services Block Grant (CSBG)**

#### **II – CSBG PROGRAM REQUIREMENT NO. 201 COMMUNITY SERVICES BLOCK GRANT (CSBG) EFFECTIVE SEPTEMBER 1, 2014**

##### **I. CONTRACTUAL REQUIREMENT**

The Coats Human Services Reauthorization Act of 1998, places an increased emphasis on outcome performance measurements, accountability, monitoring, reporting, training, and technical assistance. In keeping with this increased focus, the continued goal for the State will be to provide a range of services and activities having a measurable and potentially major impact on the causes and effects of poverty-related problems within the State.

<http://www.gpo.gov/fdsys/pkg/PLAW-105publ285/html/PLAW-105publ285.htm>

##### **II. PROCEDURES**

In accordance with the State's goal, Community Services Block Grant (CSBG) subgrantee recipients are required to develop a community action plan, develop meaningful performance targets to measure their clients' progress toward achieving self-sufficiency, as well as address the seven poverty-related areas as listed:

1. Unemployment and under-employment;
2. Inadequate education;
3. Inability to make efficient/effective use of available income;
4. Inadequate housing;
5. Inability to meet emergency needs;
6. Starvation and malnutrition; and
7. Inability to make efficient/effective use of related programs and services.

##### **III. FORMS**

None.

## **Req. 202 – CSBG Corrective Action, Termination, Or Reduction of Funding**

### **II - CSBG PROGRAM REQUIREMENT NO. 202 CORRECTIVE ACTION, TERMINATION, OR REDUCTION OF FUNDING EFFECTIVE SEPTEMBER 1, 2014**

#### **I. CONTRACTUAL REQUIREMENT**

ODOC will provide funding for the project as follows:

A. The allocation of funds for this contract is based upon a base + formula allocation of funds as awarded by the U.S. Department of Health and Human Services' Office of Community Services for Fiscal Year 2014. Subgrantee Recipients shall receive funding for all counties designated as the Subgrantee Recipient's service area.

B. ODOC shall perform monitoring and evaluation activities to assess the Subgrantee Recipient's financial and programmatic compliance and progress.

#### **II. PROCEDURES**

ODOC will utilize the guidance issued in CSBG IM No. 116 Corrective Action, Termination, or Reduction of Funding <http://www.acf.hhs.gov/programs/ocs/resource/no-116-corrective-action-termination-or-reduction-of-funding> when:

A. Updates to the population and poverty level data included in the State's distribution formula causes a change in the proportional share to eligible entities.

B. Based upon routine State monitoring, reviews, or investigations related to specific complaints or allegations, the State CSBG office determines that an eligible entity has failed to comply with the terms of an agreement or a State plan, or to meet a State requirement. The State's determination may be based on the entity's failure to provide CSBG services, or to meet appropriate standards, goals, and other requirements established by the State, including performance objectives.

#### **III. FORMS**

None.

## Section 3 – Weatherization Program

### Req. 301 – Weatherization and Application Review Procedures

#### WEATHERIZATION PROGRAM REQUIREMENTS

##### REQUIREMENT NO. 301

#### WEATHERIZATION ELIGIBILITY AND APPLICATION REVIEW PROCEDURES

EFFECTIVE April 1, 2020 (DOE WAP) & October 1, 2020 (DHS LIHEAP)

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall establish procedures to comply with the requirements of 10 CFR 440.22, [http://www.ecfr.gov/cgi-bin/text id?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text id?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl) Eligible Dwelling Units, to assist eligible households, maximize energy conservation, and minimize health and safety risk associated with Weatherization work.

#### II. PROCEDURES

A. DOE Contracts: Eligibility requirements under the Department of Energy (DOE) are described as follows:

1. A dwelling unit is eligible for weatherization assistance if a family unit occupies it:
  - a. Whose income is at or below 200% of the Federal Poverty Guidelines [**Attachment 7**]; or
  - b. Which contains a member who has received cash assistance payments under Title IV (Grants to States for Aid and Services to needy Families with children and for Child-Welfare Services) or XVI (Supplemental Security Income for the Aged, Blind and Disabled) of the Social Security Act or applicable State or local law during the twelve-month period preceding the determination of eligibility.
  - c. Who is identified as a “high residential energy user” or “households with a high energy burden.”
    - i. The subgrantee recipient shall use \$1,600 as the median/average annual level of **energy expenditures** (both gas and electric) for eligibility determination.<sup>1</sup> Eligible applicant, as defined in 440.3 of the Federal Register, adds the term “high residential user,” which identifies the amount of energy a low-income household uses in excess of a comparable household in the same area. “Households with a high energy burden” identifies a low-income household whose energy cost exceeds income or ability to pay.
    - ii. Clients are eligible if utility expenses exceed the median or average level by 30% or \$2080;

<sup>1</sup>Based on ONG average of \$864.35 for a 12-month period ending December 2010, and average cost of \$757.20 for municipal utilities annually (750 kWh).

To calculate the eligibility of “Households with a high energy burden”:

- Calculate the amount of one years’ worth of gas and electric bills.
- To be eligible the total of these bills must exceed the median average of \$1,600 by 30% (which is \$2,080).

For example: The Jones family is requesting assistance as a “household with a high energy burden.” The family has an average electric bill of \$120 and an average gas bill of \$60 annually. Calculate  $(\$120 + \$60) = (\$180 \times 12 = \$2,160)$ . This family is eligible because their annual utility expense is in excess of the median average by 30% or \$80  $(\$2,160 - \$2,080)$ .

2. To calculate the eligibility of a “High residential user” you must analyze the utility expenses of a sampling of residence within the same area and within a comparable household (i.e. size and occupancy usage patterns). The analysis must determine that the low-income household energy usage is in excess of those compared. Weatherization Applicants must have either a Social Security number **or** residency paperwork to apply for the program.
3. Subgrantee Recipients shall offer client education where applicable to assist the client in reducing energy costs.
4. A subgrantee may weatherize a multifamily building, defined as duplexes, three and four unit buildings, and buildings with more than 5 units, if the following eligibility is met and written approval from ODOC has been obtained. Audit approval by DOE for buildings with 5 or more units will be required; single family audits are approved for multifamily buildings with 2-4 units.
  - a. Buildings are eligible if not less than 66 percent (50 percent for duplexes and four unit buildings) of the dwelling units in the building are eligible, or will become eligible dwelling units within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvements to the building;
5. A subgrantee recipient may weatherize a building containing rental dwelling units where:
  - a. The subgrantee recipient has obtained the written permission of the owner or owner's agent;
  - b. The subgrantee recipient has established procedures for dwellings consisting of a rental unit or units to ensure that:
    - i. The benefits of weatherization assistance in connection with such rental units, including units where the tenants pay for their energy through their rent, will accrue primarily to the low-income tenants residing in such units;
    - ii. For a reasonable period of time, which is defined as a period of three years, after weatherization work has been completed on a dwelling containing a unit occupied by an eligible household, the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those

increases are demonstrably related to matters other than the weatherization work performed;

- iii. Tenants may file a complaint first with the local Community Action Agency then with the Oklahoma Department of Commerce/Community Development ODOC/CD if the complaint is not resolved. The owners must demonstrate that the rent increase concerned is related to matters other than the weatherization work performed; [See Requirement 103 Applicant Appeals]
- iv. No undue or excessive enhancement shall occur to the value of the dwelling units. The expenditures allowed under the Weatherization Assistance Program help focus enhancements on those that provide weatherization benefits. For example, repairs to a dwelling unit must be necessary to make the installation of weatherization materials effective.

6. With written approval from ODOC/CD, subgrantee recipients may weatherize shelters that comply with the definitions below:

- a. Shelter means a dwelling unit or units whose principal purpose is to house, on a temporary basis, individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities;
- b. Shelters shall be counted as one (1) unit per each 800 square feet or each floor of the unit shall be considered as one (1) unit;
- c. Expenditures to service shelters are limited to twenty percent (20%) of each weatherization contract;
- d. Requests to provide services to shelters should include an analysis of the cost/benefit to clients and cost benefit for energy savings when compared with serving family units.

B. DHS Contracts: Eligibility requirements under Oklahoma Department of Human Services (DHS) contracts can be found in Requirement 302A. See also Attachment 7.

C. All Contracts: Subgrantee Recipients shall not weatherize a unit which:

- 1. Is designated for acquisition or clearance by a federal, state or local program within 12 months from the date weatherization of the dwelling unit would be scheduled to be completed; or
- 2. Was previously weatherized with ODOC funds, except:
  - a. If such dwelling units have been damaged by fire, flood or Act of God and repair of the damage to weatherization material is not paid for by insurance; or
  - b. If the unit was weatherized during the period September 30, 1975, through September 30, 1994, it may be eligible for **re-weatherization**. These homes will be reported separately. Subgrantee Recipients may count these homes as completions for the

purposes of compliance with the per-home expenditure limits. Each dwelling unit must receive a new energy audit that takes into account any previous energy conservation improvements to the dwelling; or

- c. If the unit was weatherized prior to January 1, 2010, AND the unit is to be re-weatherized using DHS LIHEAP funds ONLY. See Requirement 302A for more information.

D. Procedures for Application Processing:

1. Subgrantee Recipients shall use the Weatherization Client Application **[Form 22]** to determine eligibility of the applicant.
2. If the applicant has no evidence of income, or no-income, the subgrantee recipient must collect a Notarized Self-Certification Form from the applicant **[Form 34]**.
3. **Supporting Documentation-** For purpose of review and audit, each file must contain an application from the client that contains the required demographics and income for the entire family living in residence. The demographics should include the same information as what is included on the Weatherization DOE and DHS Quarterly reports (age, disabled, blind, race - Native American, children, high residential energy user, household with high energy burden) and this data must be collected and included in each client file.
4. Subgrantee Recipients weatherizing homes using DHS LIHEAP funds must keep track of how a client was referred to them. See Requirement 302A for more information.
5. If the applicant is eligible, the subgrantee recipient shall prepare a Weatherization Needs Assessment/Priority System **[Form 23]**.
6. In some cases, the Subgrantee Recipient shall need to deny or deferral weatherization services. Subgrantee Recipient shall follow Requirement 310 and document all denials **[Form 24]** and deferrals **[Form 33]**
7. The application should then be reviewed by internal review procedures and selected for service and prioritized based upon need.
8. Clients served must have an application **[Form 22]** and income certification that has been updated within the past 12 months.

III. **FORMS**

|         |                              |                     |
|---------|------------------------------|---------------------|
| Form 22 | WX Client Application        | Effective 11/1/2020 |
| Form 23 | WX Needs Assessment Priority |                     |
| Form 24 | Denial Letter                |                     |
| Form 33 | Deferral Form                |                     |
| Form 34 | Certification of Zero Income |                     |

IV. **ATTACHMENTS**

Attachment 7 Weatherization Income Guidelines 2020

## Req. 302 – Maximum Allowable Costs

### WEATHERIZATION PROGRAM REQUIREMENTS REQUIREMENT NO. 302 MAXIMUM ALLOWABLE COSTS EFFECTIVE December 1, 2020

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall comply with the requirements set forth in 10 CFR 440 [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl) in determining maximum allowable costs for weatherized dwelling units.

#### II. PROCEDURES

- A. Weatherization Programs funded by ODOC shall operate within the following limitations.
  - 1. DOE WAP Agency program costs cannot average more than \$7,669<sup>1</sup> per unit. The total allowable costs shall consist of Program Support Costs (total labor, transportation, tools and equipment and storage) and Materials (including incidental repair materials).
  - 2. DOE LIHEAP Agency program costs cannot average more than \$9,500<sup>2</sup> per unit. The total allowable costs shall consist of Program Support Costs (total labor, transportation, tools and equipment and storage) and Materials (including incidental repair materials).
- B. Subgrantees Recipients shall not exceed a Health and Safety (H&S) budget of 14% of Program Operations (Program Support and Materials), without ODOC approval.
  - 1. Before deferring a home for lack of H&S funds, a subgrantee is encouraged to consult with ODOC first.
  - 2. If a member of the client's household falls within a vulnerable population category (60 or older, blind, disabled, or a child under 5), the Subgrantee Recipient is required to consult with ODOC before deferment for H&S budgetary reasons.
- C. Building insulation products and material containing recovered materials must be procured.
- D. DOE released WPN 12-9 WAP Incidental Repair Measure June 27, 2012 to provide guidance on Incidental Repair Measures (IRMs). The WAP Federal Regulations 10 CFR§ 440.3 [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl) define Incidental Repairs as follows: "those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped,

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<sup>1</sup> [DOE Weatherization Program Notice 20-1](#)



and providing protective materials, such as paint, used to seal materials installed under this program.” Incidental repair costs cannot exceed \$750 per unit.

Incidental Repairs must be justified in the client file with an explanation for their need and relationship to a specific Energy Conservation Measure (ECM) or group of ECMs.

The introduction of advanced energy audits in 1993 altered the concept of tracking just material costs to installed measure costs (materials, including warehouse and delivery, as well as labor and on site supervision costs). Instead of separate limits on dollars spent for weatherization and or incidental repairs materials to control spending, the cost of ECM and incidental repair measures (IRM) was limited by requiring a Saving to Investment Ratio (SIR) of 1.0 or higher, and a maximum average expenditure for each home weatherized.

Although IRMs continue to have a requirement to be justified by an *association* (necessary for effective performance or preservation) with one or more ECM, the WAP enabling statute indicates the costs for IRMs must be limited by the inclusion in the “cost of the package of measures installed in a dwelling 10 CFR §440.21(d).” [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl) Weatherization Program Notice 12-9 will assist subgrantees in determining the appropriate ECM ancillary item costs and IRM cost as part of a package of measures. See the definitions below:

**Ancillary Items:** *Costs must be included in SIR for associated individual Energy Conservation Measures.* Ancillary items are necessary for the proper installation of weatherization materials. Ancillary items refer to small items such as hardware, nails/screws, other fasteners, adhesive, sealant, etc. Ancillary items are not large ticket items such drywall, roof/floor decking, rough framing, etc. (latter are incidental repairs). Ancillary items are required by materials manufacturers, general construction, and/or WAP field standards to achieve a finished product in a typical installation where no unusual or extensive repairs are needed. **The costs of ancillary items and installation are to be included within the cost of an individual ECM when calculating the SIR for the individual ECM.** Although the WAP requires the use of appropriate, durable ancillary materials, standards for ancillary items are not typically listed in 10 CFR 440, Appendix A.

**Energy Conservation Measures (ECM)** – A procedure, including materials and installations, which is considered or performed for its anticipated energy savings. An ECM often includes installation of ancillary items but will not include IRMs. **The installed cost of all ancillary items associated with the proper installation of an individual ECM must be added to the cost of its ECM when calculating the SIR for the individual ECM.**

**Health and Safety Measure** – *Separate costs justification. Not included in SIR.* Health and Safety measures are those actions necessary to maintain the physical well-being of both the occupants and/or weatherization workers where the actions **MUST** be taken effectively perform weatherization work or the actions are necessary as a result of weatherization work.

**Incidental Repair Measure (IRM)**- *Cost must be included in SIR for whole unit package of ECM.* Includes incidental repair materials and installation, which are performed because they are deemed necessary for the effectiveness of one or more ECMS. The ECM(s) that require the

installation of an IRM must be documented in the client file. **The IRM costs are not added to an individual or partial group of ECM costs. The total costs of all IRMs are added to the costs of the package of weatherization measures to calculate the whole unit (SIR). Incidental repair costs cannot exceed \$750 per unit.**

Package of Weatherization Measures – The cost of all ECMs included in an audit and/or installed in the home. **The estimated cost of each ECM will include the estimated costs of its ancillary items.** The cost of all IRMs is added to the cost of the package of weatherization measures when calculating the SIR for the whole building.

Weatherization Materials – Materials that are purchased for installation in a building that are anticipated to have a direct impact on saving energy. A definition of approved weatherization materials can be found in Federal Regulations 10 CFR § 440.3. [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl). Weatherization materials must be listed and must comply with the standards in 10 CFR Part 440 Appendix A.

Therefore, **costs must be included in the cost of the associated ECM, and the entire cost of the repair and measure must yield an SIR of 1.0 or higher.** Allowable incidental repair costs consist of those repairs necessary for the effective performance or preservation of other weatherization materials. Incidental repairs include but are not limited to the following:

1. Lumber used to frame or repair windows and doors, which could not otherwise be caulked and weather-stripped;
2. Roofing materials used as a patch to repair water leaks which could damage ceiling insulation;
3. Protective materials, such as paint, to seal materials installed under this program;

***To see more examples of materials and how to calculate costs for each category (IRM, ECM or ancillary) see WPN 12-9 page 3 table:***

This is the process that all subgrantee recipients should follow, according to WPN 12-9, to achieve the primary goal of WAP, to lower the home energy costs of qualified households without negatively affecting the health and safety of the occupants. Therefore, justification for the cost of each IRM and how each IRM is necessary for the effective performance or preservation of an ECM must be documented in the client file:

- Each ECM, including any associated ancillary items and installation costs, must have a calculated SIR of 1.0 or greater to be eligible for DOE funding: For each weatherized building, the cost of the total package of ECMs, added to the costs of all IRMs for the building must have a calculated SIR of 1.0 or greater.
- After the first audit run, a package of measures may not have a qualifying SIR, it would be necessary to remove the combination of the ECM and its related IRM with the lowest SIR. If the IRM was deemed necessary for effective performance of the ECM, then both the ECM and the IRM must be removed in the attempt to meet

the dwelling SIR. **This process (of removing the lowest ECM and its associated IRM) would continue until the package of measures (and each ECM) has a qualifying SIR at or above 1.0.**

- If one IRM is necessary to protect or enhance more than one ECM, (e.g. roof repair protecting attic insulation, sidewall insulation and foundation insulation) **then all those ECMs together must be considered for removal until the SIR for the package of measures is 1.0 or greater.** This process may result in deferral of weatherization work until another funding source can be found to pay for the IRMs.
- IRMs must be limited to those minor repairs necessary for the effective performance or preservation of measures installed by the subgrantee. WAP funds cannot be used to install IRMs deemed necessary to protect the materials in the building before the audit is performed.

E. Replacement, Repair or installation of doors and windows is not an allowable health and safety cost, but may be allowed as an energy efficiency measure with a prescribed NEAT audit with a SIR of 1.0 or higher. Doors may also be justified with proper photo documentation/narrative in the client file. Doors and windows may be installed under general “air infiltration” under specific conditions (See Requirement 309).

F. All equipment and vehicles costing more than \$5,000 must be approved in advance by the U.S. Department of Energy. Requests must be submitted in writing to the Department of Commerce. The request must include:

- Name of requesting agency
- A statement that the equipment or vehicle will be used only in the Weatherization Assistance Program
- A statement whether this is a replacement, or an expansion for ramp-up. If this is a replacement how will the trade-in be addressed?
- Brief Description of how the procurement will be done, and confirmation that Agency, Grantee and Federal procurement guidelines will be met
  - 2 CFR 225 – Costs Principals for State, Local, and Indian Tribe Governments
  - 2 CFR 230 – Cost Principals for Non-Profit Organizations
  - 2 CFR 200 – Financial Assistance Rules
- What is the funding source (i.e. DOE Weatherization Program Operations funds). Copies of bid specifications (vehicle/equipment description with options requested) and a bid analysis indicating at a minimum, each bidder, the bid price, a determination whether the proposal met the bid specification.
- Three bids or quotes
- Statement that the lowest bid was selected or a sufficient justification of the “best value selection” if lowest bid not recommended for DOE approval.

### III. FORMS

None

## Req. 302A – DHS LIHEAP

### I. WEATHERIZATION PROGRAM REQUIREMENTS

#### REQUIREMENT NO. 302A

#### DHS LIHEAP WEATHERIZATION

EFFECTIVE December 1, 2020

### I. CONTRACTUAL REQUIREMENTS

- A. Subgrantee Recipient shall perform all activities under this contract in accordance with the ODOC Weatherization Implementation Manual for Subgrantee Recipients and the DHS guidelines outlined therein.
- B. All activities under this contract must be performed in accordance with the Subgrantee Recipient's Weatherization Management Plan and Budget as approved by ODOC.

### II. TERMS AND DEFINITIONS

**DHS LIHEAP** The Low Income Home Energy Assistance Program (LIHEAP), is a Federal grant awarded by the U.S. Department of Health and Human Services, Administration for Children and Families (ACF), in the Office of Community Services (OCS) to the Oklahoma Department of Human Services (OKDHS or DHS). T

There are four components to the LIHEAP program.

1. Regular Energy Assistance Program (REAP),
2. Energy Crisis Assistance Program (ECAP)
3. Summer Cooling and Winter Heating Assistance Program
4. Weatherization Assistance Program (WAP)

OK DHS administers the first three components and awards the Oklahoma Department of Commerce (ODOC) funds to operate the WAP Program.

#### Outreach Performance

**Report** An **Outreach Performance Report**, to report on the Plan results, will be a required upload with the agency's DHS closeout.

#### Outreach Plan

An **Outreach Plan** is required for any Subgrantee Recipient that wants to spend Program Outreach funds. The plan must describe how an agency plans to use their Program Outreach funds to support their efforts to educate potentially qualified applicants in their service area. Guidance on Outreach Plan development is provided in the Award letter.

#### Self-Certify

A Subgrantee Recipient who is unable to locate any eligible LIHEAP weatherization clients for a given county they wish to serve from the ODOC/OKDHS provided LIHEAP client list may choose to **self-certify** by verifying documentation to determine that a client's income is 200% of the Federal Poverty Guidelines or less. LIHEAP certifies clients at a lower income level threshold. Subgrantee Recipients must, in good faith, make every effort to prioritize and serve already pre certified OKDHS LIHEAP clients before serving self-certified clients.

### III. PROCEDURES

Unless noted in this Requirement 302A, DHS LIHEAP program requirements are the same as DOE program requirements. In other words, both programs have the same general Weatherization Assistance Program requirements that are found in Section 1 and Section 3 of this CAA Manual. The purpose of this Requirement

302A is to list those DHS LIHEAP requirements that differ from DOE requirements and require different agency procedures.

## ELIGIBILITY REQUIREMENTS

- A. Any household certified by DHS to be eligible for assistance with LIHEAP funds is automatically eligible for Weatherization services. Subgrantee Recipients must use the most currently available LIHEAP list provided by DHS LIHEAP to find eligible households. However, it is often the case that no eligible households can be found using the LIHEAP list. In this event, the Subgrantee Recipient has two options:
1. Contact the Subgrantee Recipient's local DHS office for updated LIHEAP client contact information and certification. If the Subgrantee Recipient is not able to get a response from the local DHS office, the main DHS office may be contacted using the following email address: [okenergyassistance@okdhs.org](mailto:okenergyassistance@okdhs.org). The Senior Energy Programs Manager must be copied on all emails.
  2. Instead of option #1 above, if the LIHEAP list for any particular county has been exhausted, the Subgrantee Recipient may choose instead to **self-certify** a client by determining a household's eligibility for LIHEAP-funded weatherization assistance using the eligibility criteria of 200% of the Federal Income Poverty Guidelines (the same as current DOE WAP income eligibility criteria) [**Attachment 7**], provided:
    - i. Such households are owner-occupied, or renter-occupied as long as the unit complies with Section II.C for rental units. Priority must be given to households who are owner-occupied. Renter – occupied units are qualified if no owner-occupied are available for a specific county.
    - ii. Priority is given to households in which one of the following individuals resides in the home:
      - Blind
      - Elderly (60 years or older)
      - Disabled
      - Child (5 years or younger)
    - iii. Such determination entitles the household to weatherization assistance only; and
    - iv. That the Subgrantee Recipient assumes total responsibility, including financial responsibility, in all such cases where weatherization services are provided in the event of error.

OKDHS LIHEAP certification numbers must be included on the ODOC Building Weatherization Report (BWR) [**Form 27**]. If the client is self-certified, the Subgrantee Recipient must list "self-certified" in lieu of the LIHEAP number.

## **PROGRAM OUTREACH**

- A. ODOC, OKDHS and Subgrantee Recipients of DHS LIHEAP Weatherization funds have a shared responsibility and obligation to make every effort possible to ensure that all qualified Oklahomans are provided equal opportunity to apply for the DHS LIHEAP Weatherization program. In order to accomplish this, Subgrantee Recipients, along with the support and partnership of ODOC and OKDHS, must be proactive and diligent in engaging in community outreach efforts, within all assigned weatherization service counties, to inform the public of the program's existence and application process.
- B. Subgrantee Recipients may use DHS LIHEAP Program Outreach funds, to support their community outreach efforts, for the following allowable expenses:
  - 1. Designing and Printing Weatherization Brochures, Pamphlets, and Posters
  - 2. Advertising costs associated with posting a Weatherization ad in newspapers, social media, magazines, radio, or television
  - 3. Designing and Printing Yard Signs
    - i. Yard signs are to be used only by the Subgrantee Recipient during weatherization work. Yard signs must not be left at a client home.
- C. The following costs are NOT allowable
  - 1. Pens
  - 2. Promotional Items
  - 3. Mileage or Travel Costs
  - 4. Salary
  - 5. Any costs not explicitly listed under Section III Program Outreach, B, without ODOC written approval.
- D. Subgrantee Recipients may not incur expenses that exceed the Program Outreach fund awarded.
- E. Subgrantee Recipients must have an ODOC approved Outreach Plan before spending Program Outreach funds.
- F. Subgrantee Recipients must submit an Outreach Performance Report at closeout, to report on their Outreach Plan results.

## **DATA REPORTING**

### **Referrals**

- A. Subgrantee Recipients weatherizing homes using DHS LIHEAP funds must keep track of how a client was referred to them in the OKGrants quarterly report. This includes, but is not limited to, the following:
  - 1. Clients that are on the DHS provided LIHEAP list and are:
    - i. Referred by DHS
    - ii. Tracked by Subgrantee Recipient using the LIHEAP list
    - iii. Found by Subgrantee through marketing/outreach methods/word of mouth
  - 2. Clients not on the DHS provided LIHEAP list and are:
    - i. Referred by DHS
    - ii. Found by Subgrantee through marketing/outreach methods/word of mouth

### Deferrals<sup>3</sup>

- A. The Subgrantee Recipient is required to track the following data on both denials and deferrals for DHS in OKGrants.
  - 1. Applicants that did not meet income eligibility requirements.
  - 2. Applicants or clients whose homes are not safe to weatherize, and corrections to make the home safe were outside the scope of Requirement 307.
  - 3. Applicants or clients whose homes need repair work beyond the scope of the program.
  - 4. Applicants or clients whose homes needed more health and safety work done than the Subgrantee budget allowed.
  - 5. Any other reason a home is deferred or an applicant was found to be ineligible.

### TRAINING AND TECHNICAL ASSISTANCE

- A. The Subgrantee Recipient may spend up to their awarded Training and Technical Assistance funds. Only the following costs are considered allowable with DHS LIHEAP Training and Technical Assistance funds:<sup>4</sup>
  - 1. Registration, mileage and other travel costs (approved Federal/State<sup>5</sup> rates only) for any weatherization conferences or trainings in or out of state. Trainings must meet the definitions of Comprehensive or Specific.
  - 2. Testing costs for BPI Certifications; travel costs to the training center
  - 3. Travel costs to OWHAC meetingsSalary is NOT an allowable DHS LIHEAP training and technical assistance cost.

### RE-WEATHERIZATION

- A. If a DOE or DHS unit was weatherized prior to January 1, 2010, the unit can be re-weatherized using DHS LIHEAP funds ONLY<sup>6</sup>.

### ELIGIBLE ACTIVITIES

#### A. ATTIC VENTILATION/ROOF VENTILATION

Attic ventilation/roof ventilation is currently allowable with DOE funds, but only with H&S funds in certain scenarios, or as an incidental repair to attic energy measures. In the event that roof venting is not specifically called for as part of ODOC's approved energy audit procedures, (see [ODOC WPN 20-4](#))-, or it is cost prohibitive with DOE funds, attic ventilation/roof ventilation may be installed at the Subgrantee Recipient's discretion with LIHEAP weatherization funds provided the home and installation meets the following eligibility criteria:

- 1. The roof venting/attic ventilation installation cost does not exceed \$1,000.
- 2. The installed attic venting must meet [2018 IRC Code Chapter 8 Section R806](#)<sup>7</sup>.
- 3. Passive vents, ridge vents, soffit vents are all allowable.
- 4. Turbine vents are also allowable but must receive ODOC written approval from the Energy

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<sup>3</sup> This exact same policy can also be found in Requirement 310, Section III (2.A).

<sup>4</sup> This exact same policy can also be found in Requirement 311, Section III (D).

<sup>5</sup> In 2016, Oklahoma issued rules that lowered the reimbursable rate for mileage. Mileage reimbursement cannot exceed Federal rates, but they can be less than, if State rules are more stringent.

<sup>6</sup> This policy can also be found in Requirement 301, Section II (C.2)c.

<sup>7</sup> [https://codes.iccsafe.org/content/IRC2018P3/chapter-8-roof-ceiling-construction#IRC2018P3\\_Pt03\\_Ch08\\_SecR806](https://codes.iccsafe.org/content/IRC2018P3/chapter-8-roof-ceiling-construction#IRC2018P3_Pt03_Ch08_SecR806)

Efficiency Quality Assurance Specialist. A request may be sent via email. Any approvals must be kept in the client file.

The attic ventilation/roof ventilation must be documented in the client file according to the following requirements:

5. The attic ventilation/roof ventilation is input into NEAT/MHEA as an itemized cost/incidental repair<sup>8</sup> and expensed under the Materials budget line item.
6. Before and after pictures are taken<sup>9</sup>
7. Attic sizing, size and type of vents, net-free air value of vents, and the calculation for determination of how much ventilation is needed must be documented on Form 28 in the comments<sup>10</sup>.

## **B. OVEN/COOKSTOVE**

During the course of an Energy Audit (see [ODOC WPN 20-4](#)), if an oven/cookstove tune and repair fails to resolve the CO health and safety issue, the Subgrantee Recipient may elect to replace the oven/cookstove instead of deferring the home. This option only applies to a gas oven/cookstove. Electric oven/cookstove replacement is not allowable. The home and gas oven/cookstove replacement must meet the following eligibility criteria:

1. The unsafe appliance must be removed from the client's home by the Subgrantee Recipient or a Contractor and disposed of following ODOC's Health and Safety Policy Requirement 307.
2. A range hood, or spot ventilation, must also be installed along with the oven/cookstove, if not already present.
  - i. The range hood/spot ventilation must meet ASHRAE 62.2 2016 and OK 2018 IRC Chapter 19 Section M1901 Residential Code standards<sup>11</sup>:
    - a. It must be vented to the outside of the home
    - b. It must be set to 100 cfm minimum intermittent or a continuous rate at a determined CFM (per ASHRAE).
    - c. Fan ducting must be insulated to R-8.
3. The gas oven/cookstove replacement and installation cost may not exceed \$1,000 without ODOC prior written approval.
  - i. A licensed plumber may be needed in some situations (such as resolving a gas line shut-off valve) which may result in a higher cost. A Subgrantee Recipient may submit a written request to ODOC to exceed the \$1,000 project cost threshold if needed. This request must be submitted via email to the Energy Efficiency Quality Assurance

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<sup>8</sup> See Energy Audit Policies and Procedures Section 3.41, page 54

<sup>9</sup> See also Requirement 304

<sup>10</sup> The calculation is either net free ventilation of 1/150 or 1/300 with special conditions and high and low ventilation. It is explained in code. That is one square foot of net free air per either 150 or 300 sq. ft. of attic.

<sup>11</sup> [https://codes.iccsafe.org/content/IRC2018P3/chapter-19-special-appliances,-equipment-and-systems#IRC2018P3\\_Pt05\\_Ch19\\_SecM1901](https://codes.iccsafe.org/content/IRC2018P3/chapter-19-special-appliances,-equipment-and-systems#IRC2018P3_Pt05_Ch19_SecM1901)



Specialist for approval. A copy of the written approval must be kept in the client file.

4. The oven/cookstove replacement must be documented in the client file according to the following requirements:
  - i. The gas oven/cookstove replacement is documented within NEAT/MHEA as an itemized Health and Safety cost. The replacement must be listed appropriately on Form 28 and Form 44.
  - ii. Pictures of the following are taken:
    - a. Before and After replacement
    - b. Any issues
    - c. CO readings (or printouts in lieu of pictures),
    - d. Full area where stove/oven is located.

#### **IV. FORMS**

**Form 27**

DHS Building Weatherization Report (BWR)

**Form 28 A/B**

Site Built and Mobile Home Energy Audit Data Collection Forms

#### **V. ATTACHMENTS**

**Attachment 7**

Weatherization Income Guidelines 2020

#### **VI. RESOURCES**

N/A

## Req. 303 – Weatherization Procedures

Effective for DHS 20

*Supersedes Requirement 302A, formerly effective December 13, 2019*

### WEATHERIZATION PROGRAM REQUIREMENTS

#### REQUIREMENT NO. 303

#### WEATHERIZATION PROCEDURES

EFFECTIVE December 13, 2019

#### I. CONTRACTUAL REQUIREMENT

- A. Subgrantee Recipients shall ensure that standards of workmanship and quality of service received comply with applicable federal and state rules, regulations, and guidelines.
- B. The maximum work necessary shall be completed within the allowable cost.
- C. As many materials as necessary should be applied in the priority order, within the allowable cost limitation for all Energy Conservation Measures (ECMs). At a minimum, all general heat waste, insulation, health and safety, and repairs should be accomplished if SIR at or above 1.0 for the cost of the package of ECMs, which will also include Incidental Repair Measures (ICMs).

#### II. PROCEDURES

Subgrantee Recipients shall:

- A. Complete an ODOC approved Energy Audit Data Collection Form. For Site Built homes, complete Form 28 A. For mobile homes, complete Form 28 B.
- B. Comply with [10 CFR 440.1](#)
- C. Distribute Renovate Right Pamphlet and Receipt [**Attachment 35**].
- D. Comply with the Oklahoma Weatherization Field Guides, and NREL's Home Energy Professional Standard Work Specifications (SWS) (links below)
- E. Follow the recommended measures report in NEAT/MHEA, and make notes of any deviations on Form 28 A or Form 28 B.
- F. All reported weatherization units must receive a final inspection by certified Quality Control Inspector (QCI), utilizing the Quality Control Report [**Form 44**].

#### III. FORMS

|          |   |
|----------|---|
| Form 28A | Site Built Energy Audit Data Collection Form  |
| Form 28B | Mobile Home Energy Audit Data Collection Form |
| Form 44  | Quality Control Report                        |

#### IV. ATTACHMENTS

|               |                                     |
|---------------|-------------------------------------|
| Attachment 35 | Renovate Right Pamphlet and Receipt |
|---------------|-------------------------------------|

## V. RESOURCES

- [10 CFR 440 Weatherization Assistance for Low Income Persons](#)
- [NREL's SWS](#)
- [Retrofitting Oklahoma – SWS Field Guide for Single-Family Homes](#)
- [Retrofitting Oklahoma – SWS Field Guide for Manufactured Homes](#)

Effective DOE 19/DHS 19

*Supersedes Requirement 303, formerly effective September 1, 2018*

## Req. 304 – Client Files

### WEATHERIZATION PROGRAM REQUIREMENTS REQUIREMENT NO. 304 CLIENT FILES EFFECTIVE December 1, 2020

#### I. CONTRACTUAL REQUIREMENTS

- A. Subgrantee Recipients shall maintain documents and records as required by ODOC to demonstrate compliance with applicable regulations.

#### II. TERMS AND DEFINITIONS

|                                   |   |
|-----------------------------------|---|
| <b>Cloud storage</b>              | Cloud storage is remote, server-based storage and processing. There are many cloud storage options, and many are free. Some examples include: Google Drive, Dropbox, OneDrive, iCloud, and Box. |
| <b>Electronically maintained</b>  | Client file and client file documents that are stored digitally. There are many options for electronic file storage such as on a computer, a cloud storage system, a CD, or a USB flash drive.  |
| <b>Remotely accessible format</b> | Any method that allows electronically stored client files to be reviewed remotely. For example, a cloud storage system that ODOC is provided a link to, a CD, or a USB flash drive.             |

#### III. PROCEDURES

- A. The Subgrantee Recipient must maintain separate client files for each funding source contract.
- B. Client files may be kept electronically or in hard copy form, but both types of client files must comply with this Requirement<sup>12</sup>.
  - a. Electronically maintained client files must be provided to ODOC in a remotely accessible format upon ODOC request.
- C. Subgrantee Recipients shall maintain, in each client file, the standardized ODOC approved forms or required documents that are listed in Section IV and V, per the order of the Client File Checklist **[Form 39]**. Any forms or documents not applicable do not have to be included in the file as long as the required Form is marked N/A on Form 39. ODOC does **not** allow modified forms to be used for weatherization.
  - a. Beginning no later than January 13, 2020, all agencies must begin using the following new required client file forms.
    - i. Energy Audit Checklist **[Form 45]** to be completed for all homes that receive an energy audit – both mobile and site built. The Energy Auditor that completed the Energy Audit and Quality Control Inspector that conducted the final inspection must complete this form.

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<sup>12</sup> 2 CFR 200.335

- ii. Site Built Home Energy Audit Data Collection Form **[Form 28A]** to be completed for all Site Built Energy Audits
    - iii. Mobile Home Energy Audit Data Collection Form **[Form 28B]** to be completed for all Mobile Home Energy Audits
    - iv. New Client File Checklist **[Form 39]**
  - b. Subgrantee Recipients will have a 30-day grace period to implement any new or updated ODOC forms, after the effective date listed on the form, as listed under Section IV below. Implementation is required for new clients or new forms completed for the first time during the 30 day grace period, not retroactively.
- D. All client files should be identified by a job number. The job number must be eleven characters in length and comply with the following format:
- a. \_\_\_ Funding Source (DOE or DHS), \_\_\_ Program Year (last two digits of year), \_ First Three Letters of County<sup>13</sup>, \_\_\_ planned number of home to be weatherized this program year (fill in blanks with leading zeros).

EXAMPLES:

**DOE18CLE001** [DOE 18 Funds, Cleveland County, 1<sup>st</sup> home for all service area (not a specific county) to be completed this PY]

**DHS19OKL050** [DHS 19 Funds, Oklahoma County, 50<sup>th</sup> home for all service area (not a specific county) to be completed this PY]

- E. Photo documentation is required to be a part of the Client File.
- 1. Photos may be stored on CDs, jump drives, electronically and/or printed.
  - 2. Photos must be **in full color, in focus, clearly distinguishable, labeled** (either as the date the photo was taken or as “before,” “after,” or “during”), **and organized**. For those homes that are to be reviewed by the State QCI, one photo for each measure must be labeled by the NEAT or MHEA Index Numbers (on the Recommended Measure Report) and uploaded to the appropriate area in the QA Monitoring Report upload section.
  - 3. Photos should be easily accessible for any client file pulled and should be a part of any file request, including files requested by ODOC’s State QCI.
  - 4. Before/During/After photo documentation of the following is required:
    - i. All completed weatherization work that was prescribed by NEAT and/or MHEA or required for Health and Safety reasons.
    - ii. All items that were not specifically required by NEAT and/or MHEA, such as incidental repairs or items involving extenuating circumstances.
    - iii. All lead safe work procedures.

#### IV. FORMS

|          |   |                     |
|----------|---|---------------------|
| Form 22  | WX Client Application [includes Radon Consent Form] | Effective 11/1/2020 |
| Form 22A | Indoor Air Quality and Safety Checklist             |                     |
| Form 23  | WX Needs Assessment Priority                        |                     |

<sup>13</sup> Except for Woodward, which should be identified as WWD.

|          |  |                     |
|----------|--|---------------------|
| Form 24  | Denial Letter                                      |                     |
| Form 25  | Client H&S Education Checklist                     |                     |
| Form 26  | DOE Building Weatherization Report                 | Effective 11/1/2020 |
| Form 27  | DHS Building Weatherization Report                 | Effective 11/1/2020 |
| Form 28A | Site Built Energy Audit Data Collection Form       |                     |
| Form 28B | Mobile Home Energy Audit Data Collection Form      |                     |
| Form 29  | Rental Agreement                                   |                     |
| Form 30  | Occupant Agreement                                 |                     |
| Form 31  | Hazardous Materials Disposal Verification          |                     |
| Form 32  | Mold Disclosure                                    |                     |
| Form 33  | Deferral Form                                      |                     |
| Form 34  | Certification of Zero Income                       |                     |
| Form 35  | Client Satisfaction Form                           |                     |
| Form 37  | Historic Preservation Resource Identification Form |                     |
| Form 39  | Client File Checklist                              |                     |
| Form 40  | Cert Renovator On the Job Training Log             |                     |
| Form 42  | Test Kit Documentation                             |                     |
| Form 43  | Renovation Recordkeeping Checklist                 |                     |
| Form 44  | Quality Control Report                             |                     |
| Form 45  | Energy Audit Checklist                             |                     |
| Form 46  | Insulation Summary Sheet                           |                     |
| Form 48  | Warranties Verification                            |                     |

AHSRAE Calculation Form

<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222016>

## V. ATTACHMENTS

Attachment 35      Renovate Right Pamphlet and Receipt

## Req. 305 – Assessment, Purchase, and Quality Control Inspection

### SECTION III ADDITIONAL PROGRAM REQUIREMENTS/PROCEDURES REQUIREMENT 305 ASSESSMENT, PURCHASE, AND QUALITY CONTROL INSPECTION EFFECTIVE September 1, 2018

#### I. CONTRACTUAL REQUIREMENTS

Subgrantee Recipients, in compliance with 10 CFR 440 [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl) shall accomplish weatherization activities to improve energy efficiency and shall conserve energy by purchasing and installing materials which are the most cost effective and complies with the Standard for Conformance as set forth in Appendix A of 10 CFR 440, while ensuring reported units are inspected in accordance with DOE standards established in Weatherization Program Notice 15-4.

#### II. PROCEDURES

Subgrantee Recipients shall comply with the following:

- A. Dwelling Assessment:** The subgrantee recipient is responsible for assessing a dwelling to determine the material needs for weatherization of a unit. This responsibility shall not be subcontracted or assigned to other than subgrantee recipient personnel. The subgrantee recipient may have the subcontractor accompany them but the Subgrantee recipient must be certain all general heat waste, insulation and venting materials used are identified by the NEAT or MHEA Audit.
- B. Equipment Maintenance:** Each Subgrantee Recipient must maintain equipment documentation to verify replacement and maintenance , to include at least the following information:

| Equipment                                     | Documentation Required                      |
|---|---|
| Oxygen Sensor in Combustion Analyzer/Detector | Last Replacement                            |
| All Manometers                                | Last Calibration (Required every two years) |

- C. Material Purchases:** The subgrantee recipient or its designated subcontractor is responsible for determining all material needs and purchases. The subgrantee recipient/subcontractor must provide the following documentation prior to authorization for payment.

1. Material invoices with each unit.
2. Totals for material and labor cost must be shown separately.
3. Certify that all materials meet DOE Appendix A standards.
  - a. **French Doors are not listed in Appendix A and are not an allowable weatherization material.**
4. CAA is required to complete Energy Audit Form **[Form 28]**, inspections (pre- and post-completion), and ensure materials meet Appendix A Standard in 10 CFR 440.
5. If ODOC determines that costs of materials/labor are excessive, those costs will be disallowed and payment shall be the responsibility of the CAA. Written justification for questionable materials/labor cost must be received and approved by ODOC prior to the payment of such cost.

6. At the beginning of each program year, CAAs must annually update their material and labor, and fuel costs in NEAT/MHEA, in order to ensure accurate pricing, as stated in Requirement 309. This data must be made available to ODOC upon request.

**C. Certification/QCI:** Per DOE's Quality Work Plan Requirement, WPN 15-4, the subgrantee recipient is responsible to report only those dwelling units that are completed, which includes the following:

1. The installation of NEAT/MHEA prescribed measures installed in order of the recommended measures, with a measure SIR at or above 1.0, and a unit SIR at or above 1.0 (cumulative).
2. All weatherization and H&S measures are installed in a workmanlike manner and the quality of work will meet or exceed the DOE standards as set forth in NREL's Standard Work Specifications (SWS).
3. All weatherization measures are installed by trained Subgrantee crew member(s) or a trained contracted third party (Subcontractor).
4. Every dwelling unit has received a final inspection, including mechanical work performed, by a certified Quality Control Inspector (QCI), also known as Quality Control. The requirements for each Quality Control Inspection are detailed in part D.
5. This responsibility shall not be subcontracted or assigned to other than subgrantee recipient personnel, without prior ODOC approval.
6. The final inspection should not occur until all necessary materials are applied.

**D. Quality Control Inspection Process:** DOE requires every reported WAP unit to receive a final inspection by a certified QCI per WPN 15-4. ODOC identified the following process to ensure subgrantee recipient compliance with the requirement:

1. Each client file must identify which weatherization worker conducted the assessment, measure installation/work and final inspection on the unit, and identify if the inspector was an agency employee or contracted third party.
  - a. This will ensure the state monitors and state QCI (Quality Assurance) monitor are aware of the separation of duties.
  - b. If the subgrantee recipient utilizes the same person for the audit/assessment as the final inspection, the number of weatherization units inspected will increase to at least 10%.
2. The Quality Control Report **[Form 44]** must be used during the final inspection.
  - a. In order to prepare for the inspection the inspector should review the following in the client file and pre-fill the QCI Summary form prior to the final inspection
    - i. BWR/Client File checklist
    - ii. Energy Audit NEAT/MHEA to review the Recommended Measures, air infiltration work
    - iii. The Energy Audit Form **[Form 28]** should be utilized to determine pre and post weatherization diagnostics and compared to the QCI assessments.
  - b. The QCI is expected to perform and record the following diagnostics during the final inspection (on the QCI Summary Form 38) and follow ODOC and/or DOE policy regarding each test:
    - i. Blower Door Test
    - ii. Zonal Test
    - iii. Pressure Pan Testing



- iv. Isolated CAZ Testing
- v. Dominant Duct Testing
- vi. Room Pressure Testing
- vii. Exhaust Fan Flow testing
- viii. Whole House Ventilation Testing (ASHRAE)
- ix. Duct Leakage (Total Leakage and Leakage to outside)
- x. Worst Case CAZ Testing (Using BPI standards)
- xi. CO testing Ambient exterior and Interior (Using BPI Standards)
- xii. Infrared camera to spot check air sealing effectiveness
- xiii. Thorough inspection of the attic and crawl space to determine air sealing and conformance to SWS
- c. QCI will need to provide Verification of the following during the final inspection:
  - i. When insulation is used verification of amount required and amount used m bag count
  - ii. Certified Renovator Cards
  - iii. OSHA 10 and or 30 cards
  - iv. Respirator Fit Testing
  - v. Equipment maintenance
  - vi. Diagnostic equipment calibration
- d. If the Crew Leader or Retrofit Installer is present during the final inspection, the QCI may allow the worker to fix issues found immediately, or determine the best process for addressing the incomplete work, as long as the final report records the entire process.
- e. If the QCI is unsure of a specific finding or measure installation during the final inspection, the QCI may contact the State for guidance to determine the best course of action.
- f. The QCI Summary must be filled out completely and included in the subgrantee recipient's Client File, and ensure all requirements in Section C above are met.
- g. State QCI: Will be required to provide a report and narrative of the above procedures, and client file verification with more details provided in Contract language.
- 3. If the QCI signs off on work that is later deemed incomplete by the State QCI, State Monitor (Program representative), or DOE monitor, the subgrantee recipient (Community Action Agency) will be considered responsible for units reported to DOE and later deemed incomplete. This does not change if the QCI is agency employee, or contracted third party.
  - a. Once the unit is reported as complete, Department of Energy (DOE) funds cannot be used for call-back/supplemental work. Therefore, subgrantee recipients should caution their final inspectors to thoroughly inspect each unit.
  - b. If a QCI at the Grantee or Subgrantee level is not inspecting units using the standards adopted by the Grantee and consistent with NREL's SWS, the following disciplinary actions will take place:
    - i. If the QCI (Grantee or Subgrantee) does not perform inspections based on the requirements set forth in this policy, Section D, and does not use standards

identified in SWS or WPN 15-4, including not utilizing a certified QCI for final inspections for any reported WAP unit the following disciplinary actions will occur:

- a. The Subgrantee will be placed on immediate probation for a period of up to 6 months or more, and required to report all units to ODOC for verification of QCI final inspection.
  - b. The Subgrantee will be paid on a reimbursement basis during the probationary period,
  - c. ODOC will widen the unit sampling of quality assurance reviews to 20-50% depending on the size of the Subgrantee during the probationary period to establish corrective action is achieved including verifying final inspections are conducted by a certified QCI, and all work is installed in accordance with standards in SWS.
  - d. Additional oversight on quality assurance reviews will ensure corrective action is achieved through quality work and measure effectiveness.
- ii. If the QCI (Grantee or Subgrantee) does not perform inspections based on the requirements set forth in this policy, Section D, including using standards identified in SWS, and the QCI (Grantee or Subgrantee) reports incomplete units to DOE, and the State QCI or Program Representative notice a pattern of oversight, the following will occur
    - a. ODOC will widen the sampling of the of quality assurance reviews to 20-50%, depending on the size of the Subgrantee, for a probationary period of up to six months, to establish corrective action is achieved including verifying final inspections, quality work, and measure effectiveness.
    - b. The certified QCI will be required to attend necessary training, Tier 1 or Tier 2 depending on the needs of the Subgrantee QCI.
    - c. If during the 6 month probationary period the QCI does not successfully meet the standards set forth in C.1, ODOC will place the agency on reimbursement status for an additional 3 months or until ODOC is satisfied the Subgrantee can fulfill these requirements.
  - iii. If during the maximum probationary period up to 9 months ODOC is unsatisfied with the Subgrantee response to these requirements, ODOC will take further action to ensure DOE funding is utilized and expended based upon DOE rules, including but not limited to re-distribution of funding, and possible additional corrective actions as determined by the State.
4. Completion: A dwelling may not be counted as complete until all weatherization measures are installed, the unit has received its final inspection by a certified Quality Control Inspector, and all work is completed in a skillful manner in accordance with the audit.

### **III. FORMS**

|           |   |
|-----------|---|
| Form 28 A | Site Built Energy Audit Data Collection Form  |
| Form 28 B | Mobile Home Energy Audit Data Collection Form |
| Form 44   | Quality Control Report                        |

### **IV. ATTACHMENTS**

|               |                |
|---------------|----------------|
| Attachment 24 | DOE Appendix A |
|---------------|----------------|

## V. RESOURCES

1. Federal Regulations 10 CFR 440, Appendix A- Standards for Weatherization Materials
2. Weatherization Program Notice 15-4: <http://waptac.org/Program-Guidance/2011002D2015-Program-Guidance-Documents.aspx>
3. 10 CFR 440: <http://www.ecfr.gov/cgi-bin/text-idx?SID=9830bde00b825c9de65b5b1a16c6faf9&mc=true&node=pt10.3.440&rgn=div5>

## Req. 306 – WAP Financial and Programmatic Reports

### WEATHERIZATION PROGRAM REQUIREMENTS REQUIREMENT NO. 306 WAP FINANCIAL AND PROGRAMMATIC REPORTS EFFECTIVE September 1, 2018

#### I. CONTRACTUAL REQUIREMENTS

Subgrantee Recipients shall furnish financial reports related to the contract in the forms and at such times as may be required by ODOC.

#### II. PROCEDURES

Reports shall be submitted, as funds are required.

- A. Request for Payment of Contract Funds submitted, as funds are required.
- B. DHS/DOE Monthly Expenditure Report submitted on the 20th of the month whether funds have been expended or not.
- C. DHS/DOE Budget/Budget Revision submitted to and approved by ODOC prior to executing a Budget Modification.
- D. DHS/DOE Quarterly Reports due July 20, October 20, January 20, and April 20.
- E. DHS/DOE Weatherization Program Narrative submitted by the 10<sup>th</sup> of each month, whether homes have been completed or not. Early submission is encouraged.
- F. State Historic Preservation Office Reports are due for both DOE and DHS grants according to the following tables<sup>14</sup>:

| DOE Reporting Period | Report Due Date |
|----------------------|-----------------|
| April – August       | September 20    |
| September – March    | May 30          |

| DHS Reporting Period | Report Due Date |
|----------------------|-----------------|
| October – September  | November 31     |

- G. See also Requirement 112.

#### III. FORMS

None

#### V. ATTACHMENTS

Attachment 37    WX Reporting Checklist

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<sup>14</sup> See Requirement 308 for complete policy on SHPO reporting.

## Req. 307 – Health and Safety

### WEATHERIZATION PROGRAM REQUIREMENTS

#### REQUIREMENT NO. 307

#### HEALTH AND SAFETY

EFFECTIVE September 1, 2018

#### I. CONTRACTUAL REQUIREMENTS

- A. Although the Weatherization Assistance Program (WAP) is primarily an energy efficiency program, the health and safety (H&S), of both clients and workers, is of great concern to both DOE and ODOC. The WAP mission is to, “reduce energy costs for low-income households by increasing the energy efficiency of their homes, **while ensuring their health and safety**<sup>15</sup>”. Allowable energy related H&S issues, within a Subgrantee Recipient’s budget, should be addressed, as necessary, in order to commence or finish weatherization measures.
- B. A H&S cost is allowable when it meets all of the following criteria<sup>16</sup>:
1. The H&S cost is listed as allowable within this Requirement and within the Oklahoma DOE approved State Plan, or allowable per ODOC written approval in the case of a unique situation that is not explicitly covered in these policies.
  2. The H&S cost is reasonable according to market standards, DOE, and ODOC policies. Procurement procedures, to include both informal and formal price comparisons, should be followed as per Requirement 108.
  3. The H&S cost is necessary to effectively perform weatherization work OR is necessary as a result of weatherization work.
  4. The H&S cost is not justifiable as an ECM.
- C. Subgrantee Recipient should budget H&S expenditures, in a separate budget category, at no more than 14 percentage of total anticipated annual Program Operation expenditures or approximately 14 percent of the average cost per unit (ACPU) for the program year. A Subgrantee Recipient can request ODOC permission to exceed the 14% threshold if needed. Subgrantee Recipients are strongly encouraged to blend funds not associated with WAP to abate or resolve any H&S issues that are outside the scope of this requirement.
- D. All H&S weatherization related activities must comply with DOE Weatherization Program Notice 17-7 – Health and Safety Guidance, or newer guidance as issued. All measures, including any H&S installations, must follow [the National Resource Energy Laboratory’s Standard Work Specifications](#) (NREL’s SWS), the most current Oklahoma Field Guide, and all ODOC policies and procedures within the CAA Implementation Manual. All state ([Oklahoma Uniform Building Codes](#)) and local codes ([Municode – Oklahoma](#)) must also be followed in the event that they are either in conflict with or are more stringent than ODOC/DOE policy.

<sup>15</sup> DOE Weatherization Assistance Program Home Page - <https://energy.gov/eere/wipo/weatherization-assistance-program>

<sup>16</sup> Weatherization Program Notice 17-2 – August 9, 2017

## II. TERMS AND DEFINITIONS:

|                                   |   |
|-----------------------------------|---|
| <b>ACM</b>                        | Asbestos containing materials <sup>2</sup>  |
| <b>AHERA</b>                      | Asbestos Hazard Emergency Response Act of 1986 <sup>17</sup>  |
| <b>AHJ</b>                        | Authority Having Jurisdiction   |
| <b>At Risk Qualified Home</b>     | The home is owned by the occupant/applicant, and a child under age 5, and/or person over age 65, and/or a disabled person lives in the home.  |
| <b>Bathrooms</b>                  | Defined as rooms that contain a bathtub, shower, spa or other similar sources of moisture <sup>18</sup> .   |
| <b>ECM</b>                        | Energy Conservation Measure (ECM) are those measures that result in a Savings to Investment Ratio of 1.0 or higher in the NEAT/MHEA program.  |
| <b>Friable</b>                    | Any ACM material that can be crumbled, pulverized, or reduced to powder by the pressure of an ordinary human hand. <sup>19</sup>  |
| <b>Hazardous materials</b>        | Refrigerants, heating equipment, asbestos, lead, mercury, CLFs, and fluorescents  |
| <b>Household hazardous wastes</b> | Household hazardous wastes are those that are generated by individuals on the premises of a household and the waste stream is composed primarily of materials found in the waste generated by consumers in their homes <sup>20</sup> . At the federal level, household wastes are exempt from regulation and regulation falls to the state.   |
| <b>Incidental repairs</b>         | Repairs that are necessary to ensure the effectiveness of weatherization measures. A repair is incidental to an ECM and must be combined with the cost of the associated ECM, and the entire cost must result in an SIR of 1.0 or higher in the NEAT or MHEA program. For example, if a home needs roof repair before attic insulation can be installed, then the cost of the insulation should be combined with the cost of the roof repair. If the result is an SIR of 1.0 or higher, then the repairs and the insulation installation should be completed. The maximum incidental repair cost cannot exceed \$750 for the unit, without ODOC permission. |
| <b>Minor repairs</b>              | Those repairs that meet the definition of incidental repairs.   |
| <b>Primary System/unit</b>        | A primary system is that which is most relied upon to provide heating or cooling throughout the season <sup>5</sup>   |

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<sup>17</sup> AHERA - <https://www.gpo.gov/fdsys/pkg/USCODE-2011-title15/pdf/USCODE-2011-title15-chap53-subchapII.pdf>

<sup>18</sup> ASHRAE 62.2.2016

<sup>19</sup> Weatherization Program Notice 17-2 – August 9, 2017

<sup>20</sup> <https://www.epa.gov/hw/household-hazardous-waste-hhw>

|                                   |   |
|-----------------------------------|---|
| <b>Safety Data Sheets (SDS)</b>   | The US Occupational Safety and Health Administration (OSHA), requires that chemical manufacturers, distributors, or importers provide Safety Data Sheets (formerly known as MSDS or Material Safety Data Sheet) for each hazardous chemical they manufacture, distribute or import. A SDS is comprised of sixteen 16 sections: Identification, Hazard Identification, Ingredient Composition, First-Aid Measures, Fire-Fighting Measures, Accidental Release Measures, Handling and Storage, Exposure Controls, Physical and Chemical Properties, Stability and Reactivity, Toxicological Information. Sometimes Disposal, Transit, Regulatory and Ecological Information is also included. |
| <b>Secondary System/unit</b>      | A secondary unit is only employed in extreme weather <sup>5</sup>   |
| <b>Solid-Fueled Space Heaters</b> | Solid fueled space heaters include wood stoves, coal stoves, pellet stoves, and fireplaces. Wood, coal, and pellet fired furnace and boiler systems should be treated as vented heating systems.  |
| <b>System</b>                     | A system can refer to a central unit or several individually operating units; however, when a central unit is in place, it shall be considered the primary unit, and all other units are to be considered secondary <sup>5</sup>  |
| <b>WPN</b>                        | Weatherization Program Notices are periodically released by the Department of Energy to provide States and Subgrantee Recipients with official guidance on WAP implementation.  |

### III. PROCEDURES

Weatherization services must be provided in a manner that minimizes risk to workers and occupants. No weatherization testing or work should proceed in a home that puts workers or occupants at a health or safety risk. Although WAP does not provide all the solutions, awareness of potential hazards is essential to providing quality services.

The following Health and Safety issues are outlined in this requirement:

1. Heating Systems
2. Cooling Systems
3. Asbestos
  - a. In siding, walls, ceilings, etc.
  - b. In vermiculite
  - c. On pipes, furnaces, and other small covered surfaces
4. Biologicals and Unsanitary Conditions
5. Building Structure and Roofing
6. Code Compliance
7. Combustion Gases
8. Electrical
9. Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants
10. Fuel Leaks
11. Gas Ovens/Stovetops/Ranges
12. Hazardous Materials Disposal
13. Injury Prevention of Occupants and Weatherization Workers
14. Lead Based Paint
15. Mold and Moisture
16. Occupant Health and Safety Concerns and Conditions
17. Pests
18. Radon
19. Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers
20. Ventilation and Indoor Air Quality
21. Window and Door Replacement, Window Guards
22. Worker Safety (OSHA, etc.)
23. Water Heater



**ODOC recognizes that it is not possible to catalog all potential H&S problems. Should concerns not enumerated in this document be identified, it is the Subgrantee Recipient's responsibility to notify ODOC of the problem and obtain specific directions on how to proceed before any weatherization work commences. Failure to adhere to this requirement may result in disallowed costs for the Subgrantee Recipient and potential liability for any subcontractor.**

For each health and safety issue listed in this Requirement, the following regulations apply:

1. Assume that if a cost is NOT listed as allowable in each Section A, it is not an allowable DOE WAP expense. If unsure, or if there is a unique situation that is not covered in this requirement, Subgrantee Recipients are always encouraged to ask ODOC about specific situations before deferring a home for H&S reasons.
2. If a potential measure can be justified as an ECM with an SIR greater than 1, then the measure must be installed as an ECM charged to Program Operations, rather than as a H&S measure.
3. All applicable State and local (or AHJ) codes must be followed and manufacturer approved materials and instructions must be used while installing any weatherization measures.
4. Workers shall know the limits of their knowledge, and when the AHJ requires a licensed professional to perform a certain task.
5. Subgrantee Recipients are required to ensure that all agency workers and sub-contractors are qualified and adequately trained to implement the DOE Standard Work Specifications as well as state and local (or AHJ) codes specific to the work being conducted (electrical, plumbing, etc.). For additional guidance and requirements on training, please see Requirement 311.
6. Under all circumstances, client education **MUST** be provided by the Subgrantee Recipient when an issue is found in a home, even if a home is deferred or if the issue is abated. This must be documented with the client signature on **Form 25**. It is a best practice to educate the client at the beginning and end of the weatherization work.
7. Whenever new equipment is installed – ventilation fans, HVAC, etc., - the paperwork that comes with the unit, including the user's manual and warranties, must be provided to the client. A client signature should be obtained and maintained in the client file to document that both manuals **[Form 35]** and warranties **[Form 48]** were received.
8. Though not written out in every case, it is implied that workers responsible for carrying out the required tests described throughout the guidance will receive the training needed to competently perform those tests, as applicable. On the same note, where workers will have to make decisions in the field, it is understood that they will receive training on applicable policies that should inform those decisions. For additional guidance and requirements on training, please see Requirement 311.
9. Replacement appliances shall comply with the minimum standards of energy efficiency for major appliances established by the National Appliance Energy Conservation Act (NAECA) of 1987.
10. Agencies are required to document all measure installations and any potential health and safety findings on the Energy Audit Form **[Form 28]**.
11. Under no circumstance should weatherization work which would exacerbate health and safety problems, for either the occupant or the worker, proceed.
12. All procurement procedures (see Requirement 108) should be followed when procuring H&S services or products.
13. During the final inspection(s), both the local QCI and State QCI must document H&S issues that were identified **[Form 44]**, including any missed opportunities.
14. Many health and safety issues are beyond the scope of the weatherization program. Therefore, standards are in place to allow for weatherization providers to refuse service, defer work, and/or refer applicants to

other programs for assistance. These deferrals are explained and documented for the client [**Form 33 or Form 24**]. These deferrals must also be tracked and submitted to ODOC quarterly. For additional guidance on Deferrals/Referrals, please see Requirement 310.

15. Subgrantee Recipients must keep track of all H&S measures as part of quarterly reporting in OKGrants [**Form 49**].

## 1. HEATING SYSTEMS

### 1) Primary Heating System:

#### A. Allowability:

- a. "Red tagged", inoperable, or non-existent heating system (including solid fuel heating units such as wood stoves) replacement, repair, or installation is allowed, provided the cost is allowable per [Section I, B](#), and follows the guidance listed below.
- b. Standalone electric space heater replacement, repair or installation is not allowed.
- c. DOE will not permit any DOE-funded weatherization work where the completed dwelling unit is heated with an unvented gas- and/or liquid-fueled space heater as the primary heat source. The primary heat source must be replaced with a vented unit prior to weatherization. The replacement unit should be sized so it is capable of heating the entire dwelling unit, consistent with audit requirements described in 10 CFR 440.21(e)(2).

#### B. Actions:

- a. Make sure primary systems are present, operable, and performing correctly. Unsafe units, including space heaters, and any unit that does not conform to ANSI Z21.11.2, must be repaired, removed or rendered inoperable, or deferral is required.
- b. Input the heating tune-up or replacement of the primary heating system in the NEAT/MHEA program to determine potential energy savings at an ECM with an SIR of 1.0 or above. Documentation [NEAT/MHEA Input Report] to show this attempt of cost justification should be kept in client file.
  - i. If the heating tune-up or replacement results in an ECM with an SIR of 1.0 or above, replace or tune-up as a regular ECM.
  - ii. If the NEAT/MHEA program does not determine the primary hearing system replacement or tune-up to be an ECM, repair or replace the primary heating system using H&S funds.
  - iii. Document reason for replacing heating system using H&S funds on the Energy Audit Form [**Form 28**]
- c. Use proper sizing protocols (Manual J, State Approved sizing protocols, NEAT/MHEA outputs, etc.) based on post-weatherization housing characteristics, including installed mechanical ventilation, when installing or replacing a heating appliance.
- d. If a primary heating system is unsafe, and cannot be repaired, replaced, or removed, then weatherization services cannot be provided and the home must be deferred.
- e. See Section 12 - Hazardous Materials Disposal section for proper disposal of any heater that is removed from a client's home.

#### C. Testing Protocols:

- a. On combustion equipment, inspect chimney and flue and test for CAZ depressurization, Carbon Monoxide, and Spillage using ANSI/BPI 1200 Standards.

- b. For solid fuel appliances look for visual evidence of soot on the walls, mantel or ceiling or creosote staining near the flue pipe.

## 2). Secondary Heating System:

### A. Allowability:

- a. Replacement or installation of secondary heating systems with DOE funds are not allowed.
- b. Maintenance or repair of secondary systems is allowed, provided the cost is allowable per [Section I, B](#)

### B. Actions:

- a. During initial Energy Audit, all secondary units must be identified and noted.
- b. Any noted unsafe secondary units, including space heaters, and any unit that does not conform to ANSI Z21.11.2, must be repaired, removed or rendered inoperable, or deferral is required.
- c. Secondary unvented units that conform to the safety standards ANSI Z21.11.2 may remain as back-up heat sources. DOE is allowing this flexibility primarily to provide low income clients an emergency backup source in the event of an electrical power outage.
- d. Secondary unvented units that meet the ANSI Z21.11.2, but are not operating safely, must be removed and properly disposed of.
  - i. Unsafe secondary unvented units that meet ANSI Z21.11.2 are defined as those with yellow flame, corroded wiring, and noticeable scorch soot.
- e. **Weatherization work cannot begin until any identified unsafe secondary heating units have been removed. If the occupant refuses removal, the home must be deferred.**
- f. See Section 12 - Hazardous Materials Disposal section for proper disposal of any secondary heater that is removed from a client's home.

### C. Testing Protocols:

- a. On combustion equipment, inspect chimney and flue and test for CAZ depressurization, Carbon Monoxide, and Spillage using ANSI/BPI 1200 Standards.
- b. For solid fuel appliances look for visual evidence of soot on the walls, mantel or ceiling or creosote staining near the flue pipe.
- c. Check circuitry to ensure adequate power supply for existing space heaters that remain in the home that are safe.

### D. Client Education for Heating Systems

- a. When deferral is necessary, provide information to the client, in writing, describing conditions that must be met in order for weatherization to commence. A copy of this notification must also be placed in the client file **[Form 33]**
- b. Discuss appropriate use and maintenance of units.
- c. Provide all paperwork, warranties **[Form 48]**, and manuals **[Form 35]** for any installed equipment.
- d. Discuss and provide information on proper disposal of bulk fuel tanks when not removed as part of the weatherization work.
- e. Where combustion equipment is present, provide safety information including how to recognize depressurization.

- f. Provide information sheet on appropriate use and maintenance of units, including tune-ups, cleaning, and discuss the risks and warning signs associated with high CO in a household.
- g. If a client refuses to have an unsafe heating unit removed from the home, educate client of hazards and defer the home.
- h. The homeowner shall be notified of the results of all combustions safety tests.

## 2. COOLING SYSTEMS

### 1) Primary Air Conditioning Systems

#### A. Allowability:

- a. Replacement, repair, or installation of a primary air conditioning system is allowed in at risk occupant homes when there is an existing air conditioning unit in the home that is not working, provided the cost is allowable per Section I, B, and climate conditions warrant.
- b. Primary air conditioning units cannot be replaced if the client does not meet at risk definition as defined in Section II of this Requirement. A client is at risk if they can provide documentation of the following:
  - i. Home ownership (either the applicant themselves or one of the occupants) AND that at least one of the following individuals is an occupant in the home:
    - *a child under the age of five (5)*
    - *a person over the age of 65*
    - *a disabled person*

#### B. Actions:

- a. Make sure primary systems are present, operable, and performing correctly.
- b. Input the air conditioning unit replacement, repair or installation in the NEAT/MHEA program to determine potential energy savings at an ECM with an SIR of 1.0 or above. Documentation [NEAT/MHEA Input Report] to show this attempt of cost justification should be kept in client file.
  - i. If the air conditioning unit replacement, repair or installation results in an ECM with an SIR of 1.0 or above, replace or tune-up as a regular ECM.
  - ii. If the NEAT/MHEA program does not determine the primary air system replacement, repair, or installation to be an ECM, and the client meets the at risk definition, H&S funds can be used to repair, replace, or install a new primary air conditioning unit.
  - iii. Document reason for replacing cooling system using H&S funds on the Energy Audit Form **[Form 28]**
- c. Use proper sizing protocols according to (Manual J, State Approved sizing protocols, NEAT/MHEA outputs, etc.) based on post-weatherization housing characteristics, including installed mechanical ventilation, when installing or replacing a cooling system.
- d. If a primary air conditioning unit is unsafe, and cannot be repaired, replaced, or removed, either because the client does not give permission or the client does not meet the at-risk definition, then weatherization services cannot be provided and the home must be deferred.
- e. See Section 12 - Hazardous Materials Disposal section for proper disposal of any air conditioning unit that is removed from a client's home.

#### C. Testing Protocols:

- a. If cooling system is inoperable or poorly working, a licensed HVAC contractor or individual must inspect and test the cooling system.

## 2) Secondary Air Conditioning Systems

### A. Allowability:

- a. Replacement or installation of secondary air conditioning systems with DOE funds are not allowed.

### B. Actions:

- a. Unsafe secondary units, including any secondary air conditioning units, must be repaired, removed or rendered inoperable, or deferral is required.
- b. See Section 12 - Hazardous Materials Disposal section for proper disposal of any secondary air conditioning unit that is removed from a client's home.

### C. Testing Protocols:

- a. If cooling system is inoperable or poorly working, a licensed HVAC contractor or individual must inspect and test the cooling system.

### D. Client Education for Cooling Systems:

- a. When deferral is necessary, provide information to the client, in writing, describing conditions that must be met in order for weatherization to commence. A copy of this notification must also be placed in the client file. **[Form 33]**
- b. Discuss appropriate use and maintenance of units.
- c. Provide all paperwork, warranties **[Form 48]**, and manuals **[Form 35]** for any installed equipment.
- d. Discuss and provide information on proper disposal of bulk fuel tanks when not removed as part of the weatherization work.
- e. Where combustion equipment is present, provide safety information including how to recognize depressurization.
- f. Provide information sheet on appropriate use and maintenance of units, including tune-ups, cleaning, and discuss the risks and warning signs associated with high CO in a household.

### E. Training for both Heating and Cooling Systems:

- a. The Oklahoma WAP network contracts out all HVAC work replacement units. Subgrantee Recipients are required to ensure their sub-contractors are trained per DOE rules and regulations to ensure that the most current Oklahoma Field Guide is followed and that all weatherization work is in compliance with NREL's most current SWS, and all ODOC policies and procedures.
- b. CAZ depressurization testing and inspection.

## 3. ASBESTOS

### 1) General Asbestos Requirements

- A. During the initial energy audit, all homes should be visually inspected for suspected asbestos. Close attention should be paid to the exterior wall surfaces and subsurface, floors, and ceilings. In Oklahoma, asbestos is commonly found on pipes, so use caution, and thoroughly inspect units. Any suspected asbestos should be noted and, depending on where the suspected asbestos is located, the appropriate required actions should be taken. **Asbestos can only be identified and confirmed**

**by a certified AHERA tester. When budget and time constraints prevent AHERA testing, suspected ACM materials should be treated as though asbestos has been confirmed.** See below for further guidance on what that required action must be taken and what costs are allowable regarding asbestos found in siding, walls, ceilings, vermiculite, or pipes, furnaces, other small covered surfaces.

- B. A blower door test should NOT be setup and performed in a home with suspected ACM when any of the following situations apply:
  - a. Any home built prior to 1930 that has an old furnace system with fibral asbestos insulated ducting systems.
  - b. A home with popcorn ceilings in which the grinding or disturbing the ceiling would be required.
  - c. Any home with suspected friable ACM in which the blower door test will disturb it. A blower door test can only be run after encapsulation is completed by an appropriately trained AHERA asbestos control professional.
  - d. A home in which vermiculite is present. A blower door test can only be run after encapsulation is completed by an appropriately trained AHERA asbestos control professional.
- C. In order to find a licensed AHERA asbestos control professional, or to become a licensed professional visit the [Oklahoma Department of Labor](#) Asbestos Abatement Program for more information.

**1) In siding, walls, ceilings, etc.**

**A. Allowability:**

- a. General abatement of asbestos siding or replacement with new siding is NOT an allowable H&S cost.
- b. Siding removal and reinstallation is allowable, provided the cost is allowable per [Section I, B](#); however, when possible, insulate from inside of the dwelling instead.

**B. Actions:**

- a. Visually inspect exterior wall surface and subsurface, floors, walls, and ceilings for suspected ACM.
- b. The existence of asbestos siding that is in good condition does not prevent installing dense-pack insulation from the exterior.
- c. All reasonable and necessary precautions must be taken to prevent asbestos contamination in the home.
- d. Suspected ACM siding should never be cut or drilled.
- e. Siding may be removed and reinstalled in order to perform the ECM and the associated costs may be charged as part of the ECM.
- f. Where possible, insulate through home interior and avoid removal of asbestos siding.

**C. Testing Protocols:**

- a. Inspect exterior wall surface and subsurface, floors, walls, and ceilings for suspected ACM prior to drilling or cutting.
- b. AHERA sample collection and testing must be conducted by a certified tester.

**D. Client Education**

- a. Inform client in writing that suspected asbestos siding is present and what precautions will be taken to ensure the occupants' and workers' safety during weatherization.
- b. Provide client with asbestos information info sheet.
- c. If testing was conducted by a certified AHERA tester, formally notify the client in writing of results. Client should provide a signature stating that they were informed.
- d. When deferral is necessary provide information in writing describing conditions that must be met in order for weatherization to commence [**Form 33**].

**E. Training (must be provided by a trained and accredited asbestos professional)**

- a. How to identify ACM
- b. Safe practices for siding removal and replacement
- c. Licensing/certification for removal and reinstallation of asbestos siding if required by AHJ

**2) In Vermiculite**

**A. Allowability:**

- a. Encapsulation by an appropriate trained asbestos professional is allowed; provided the cost is allowable per [Section I, B](#). Removal is not allowed.
- b. Baseline environmental asbestos sampling is an allowable cost if authorized in the Oklahoma DOE approved State Plan.
  - In PY18, baseline environmental asbestos sampling is not allowable cost.

**B. Actions:**

- a. When vermiculite is present, unless testing determines otherwise, assume it contains asbestos.
- b. Use proper respiratory protection while in areas containing vermiculite.
- c. A blower door test CANNOT be done on a home when vermiculite is present.
- d. Encapsulation by an appropriately trained asbestos control professional must be done prior to any weatherization work before conducting a blower door testing and completing any weatherization work.
- e. When deferral is necessary due to asbestos, and it cannot be encapsulated OR there are budgetary or occupant objections, the occupant must provide documentation that a certified professional performed the remediation before work continues. This documentation must be kept in the client file.

**C. Testing Protocols:**

- a. AHERA sample collection and testing must be conducted by a certified tester.
- b. Baseline environmental asbestos sampling, if an allowed cost.

**D. Client Education**

- a. Clients must be instructed in writing not to disturb ACM.
- b. Provide asbestos safety information to the client.
- c. If testing was conducted by a certified AHERA tester, formally notify the client in writing of results. Client should provide a signature stating that they were informed.
- d. When deferral is necessary provide information in writing describing conditions that must be met in order for weatherization to commence [**Form 33**].

**E. Training (must be provided by a trained and accredited asbestos professional)**

- a. Training on how to recognize vermiculite.
- b. AHERA course for testing.
- c. AHERA course or other appropriately trained or certified asbestos control professional training for encapsulation.

**3) On pipes, furnaces, other small covered surfaces**

**A. Allowability:**

- a. Encapsulation is allowed by an appropriately trained AHERA asbestos control professional and should be conducted prior to blower door testing, provided the cost is allowable per [Section I, B](#). Removal of ACM may be allowed by an AHERA professional on a case by case basis.

**B. Actions:**

- a. In Oklahoma asbestos is commonly found (metal, PVC, and transite/cement) pipes, so use caution, and thoroughly inspect units before blower door test.
- c. Assume asbestos is present in suspect covering materials. When suspected friable ACM is present, take precautionary measures as if it is asbestos unless testing determines otherwise.
- d. If suspected friable ACM is present, encapsulation must be completed by an appropriately trained AHERA asbestos control professional before a blower door test if materials are friable.
- e. If a Subgrantee Recipient wishes to pay for removal of ACM, that is possible on a case-by-case basis provided the following criteria are met.
  - i. It is within the Subgrantee Recipient's health and safety budget. Only those costs directly associated with the testing, encapsulation, or removal may be charged to the health and safety budget category.
  - ii. At least one of the occupants has either been previously exposed to ACM or is a smoker, making them at risk.
  - iii. Written ODOC approval is provided and maintained in the client file.

**C. Testing Protocols:**

- a. Assess whether suspected ACMs are present.
- b. AHERA sample collection and testing must be conducted by a certified tester.

**D. Client Education**

- a. Clients must be instructed in writing not to disturb ACM.
- b. Provide asbestos safety information to the client.
- c. If testing was conducted by a certified AHERA tester, formally notify the client in writing of results. Client should provide a signature stating that they were informed.
- d. When deferral is necessary provide information in writing describing conditions that must be met in order for weatherization to commence **[Form 33]**

**E. Training (must be provided by a trained and accredited asbestos professional)**

- a. How to identify ACM
- b. AHERA course or other appropriately trained or certified asbestos control professional training for encapsulation



- c. AHERA or other appropriate asbestos control professional certification/training is required to abate the ACM.

#### **4. BIOLOGICAL AND UNSANITARY CONDITIONS – ODORS, MUSTINESS, BACTERIA, VIRUSES, RAW SEWAGE, ROTTING WOOD**

##### **A. Allowability:**

- a. Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed, provided the cost meets the criteria in [Section I, B.](#)
- b. Addressing bacteria and viruses is not an allowable cost.

##### **B. Actions:**

- a. Weatherization work may be deferred if the cost, scope, or nature of mitigating the biological hazard is beyond the reach of the weatherization provider. **[Form 33]**
- b. Deferral may also be necessary in cases where a known agent is present in the home that may create a serious risk to occupants or weatherization workers. **[Form 33]**
- c. See also Section 15 – Mold and Moisture

##### **C. Testing Protocols:**

- a. Sensory Inspections

##### **D. Client Education**

- a. If mold or moisture problems are suspected or identified, Subgrantee Recipients must have clients sign a Mold Disclosure **[Form 32]**, and provide a copy of [A Brief Guide to Mold, Moisture and Your Home](#) **[Attachment 22]** (see also Section 15 – Mold and Moisture).
- b. Inform client in writing of observed conditions
- c. Provide information on how to maintain a sanitary home **[Attachment 22]**.
- d. When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence **[Form 33]**.

##### **E. Training:**

- a. How to recognize conditions and when to defer.
- b. Safe work practices when encountering any biological or unsanitary conditions.

#### **5. BUILDING STRUCTURE AND ROOFING**

##### **A. Allowability:**

- a. Building Rehabilitation is not an allowable weatherization cost.
- b. Minor structural repairs are allowable and can be done on a home, **provided** they meet the definition of incidental repair, and the cost meets the criteria in [Section I, B.](#)

##### **B. Actions:**

- a. Dwellings that require more than minor repairs should not be weatherized and should be deferred.
  - i. Minor repairs are those that meet the incidental repair definition. See definition for incidental repair under Part II of this Requirement.

- ii. Applicants may be referred to the U.S. Department of Housing and Urban Development, United State Department of Agriculture or other non-DOE housing programs.
- b. See Section 15 - Mold and Moisture, Section 4 - Code Compliance, and Section 16 - Pests sections for more information.

**C. Testing Protocols:**

- a. Visual Inspection
- b. Ensure that access to areas necessary for weatherization are safe for entry and performance of assessment, work and inspection.

**D. Client Education.**

- a. Notify client of structurally compromised areas.
- b. When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence **[Form 33]**.

**E. Training:**

- a. How to identify structural and roofing issues.

**6. CODE COMPLIANCE:**

**A. Allowability:**

- a. Correction of preexisting code compliance issues is not an allowable cost unless triggered by weatherization measures being installed in a specific room or area of the home.
- b. Measures not triggered by weatherization measures are not required to be brought up to code per state law, nor is it an allowable use of DOE funds.

**B. Actions:**

- a. The Oklahoma Uniform Building Code Commission (OUBCC) was created by the Oklahoma Legislature in 2009 to develop state-wide minimum building codes for residential and commercial construction. On September 15, 2017, Oklahoma, adopted the International Residential Code (IRC) 2015 Edition, with modifications. The official rules are published in the Oklahoma Administrative Code and Oklahoma Register. The unofficial rules can be found at the OUBCC website.
- b. Since NREL's SWS use IRC 2012 Edition codes, several weatherization measures will not meet minimum state building code compliance, unless further action is taken.
- c. DOE requires that state and local codes must be followed while installing weatherization measures, along with using licensed workers when work performed requires a license/registration. Therefore, at a minimum, OUBCC rules must be followed, unless a local code has a more stringent code, then that code must be followed.
  - i. State and local codes can be accessed at [Oklahoma Uniform Building Code Commission](https://www.ok.gov/oubcc/Codes_&_Rules/Adopted_Building_Codes/index.html)<sup>21</sup>, [Oklahoma Construction Industries Board](http://cib.ok.gov/ruleslaws)<sup>22</sup>, and at [Municode](https://library.municode.com/ok)<sup>23</sup>.
- d. When correction of preexisting code compliance issues is triggered and paid for with WAP

<sup>21</sup> [https://www.ok.gov/oubcc/Codes\\_&\\_Rules/Adopted\\_Building\\_Codes/index.html](https://www.ok.gov/oubcc/Codes_&_Rules/Adopted_Building_Codes/index.html)

<sup>22</sup> <http://cib.ok.gov/ruleslaws>

<sup>23</sup> <https://library.municode.com/ok>

funds, cite specific code requirements with reference to the weatherization measure(s) that triggered by weatherization measures being installed in a specific room or area of the home. This documentation must be maintained in client file.

- e. Condemned properties where “red-tagged” health and safety conditions exist that cannot be corrected under this guidance should be deferred.
- f. In Oklahoma, the following OUBCC statewide code compliance issues are commonly identified during the course of weatherization work. The specific OUBCC codes are referenced.

- i. Combustion Water Heaters

- If a water heater is being replaced, the following issues must be addressed according to SWS standards:

- (a) If the water heater is located in a bathroom or sleeping area (bedroom) it must be relocated elsewhere in the home or be isolated and receive combustion air from outside that room (e.g. from outside) [OUBCC, 748:20-5 IRC 2015 - G2406.2 (5)].
    - (b) If the water heater is being replaced, it must have an expansion tank (if required by P2903.4 or local jurisdiction) and sediment trap [OUBCC, 748:20-5 IRC 2015 - G2419] as well as pan [OUBCC, 748:20-5 IRC 2015 - P2801.6].
    - (c) The water heater must also have a pressure and temperature relief cpvc pipe [OUBCC, 748:20-5 IRC 2015 - P2804.1] installed and ran to the outside or 6” within the floor (if below the floor, it must be ran outside) [OUBCC, 748:20-5 IRC 2015 - P2801.6 (1-14)].
    - (d) Be constructed of those materials indicated in IRC 2015 Section P2906.5 or materials tested, rated and approved for such use in accordance with ASME A112.4.1<sup>24</sup>,<sup>25</sup>

- ii. Combustion Furnaces

- If a combustion furnace is being replaced, the following issues must be addressed according to SWS standards:

- (a) A sediment trap must be installed if furnace is being replaced. [OUBCC, 748:20-5 IRC 2015 - G2419]

- iii. Ventilation for Exhaust Fans

- If ventilation for a home is being installed or already exists, the following issues must be addressed according to SWS standards:

- (a) Ventilation must be ran to the outside and when going through unconditioned sleeve, be insulated to R8. [OUBCC, 748:20-5 IRC 2015 – N1103.3.1]

**C. Testing Protocols:**

- a. Visual inspection.

**D. Client Education.**

- a. Inform client in writing of observed code compliance issues when it results in a deferral, to

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<sup>24</sup> American Society of Mechanical Engineers (ASME)

<sup>25</sup> 2016 IRC P2804.6.1. 13

include information describing conditions that must be met in order for weatherization work to commence. **[Form 33]**

**E. Training:**

- a. How to determine what code compliance or licensing/registration Requirements for work performed may be required.

**7. COMBUSTION GASES:**

**A. Allowability:**

- a. Testing and repair of combustion appliances is allowed, as long as it follows all other guidance and is not prevented by any other guidance in this requirement.
- b. Replacement of combustion appliances is allowed if unsafe conditions, whose remediation is necessary to perform weatherization, cannot be remedied by repair or tuning, unless prevented by other guidance in other sections of this requirement. See Section 1 – Heating Systems, Section 11 – Gas Ovens/Stovetops/Ranges and Section 23 – Water Heaters, for additional guidance.
- c. The cost of tools and equipment used to test for dangerous concentrations of combustion products in the living space is allowable, provided the cost meets the criteria in [Section I, B.](#)

**B. Actions:**

- a. Combustion safety testing is required to be done when combustion appliances are present.
- b. Subgrantee Recipients must follow the Ambient CO and CO Limit Action Tables in the BPI 1200 Standards Chart **[Attachment 28]**
- c. Proper venting to the outside for combustion appliances, including gas dryers, refrigerators, furnaces, vented space heaters, and water heaters, is required.
- d. Venting must be corrected when testing indicates a problem.
- e. State and local codes must be followed during testing, repair, or replacement. See Section 4 – Code Compliance for additional guidance.
- f. If a replacement of a combustion appliance is done, the following actions must be followed:
  - i. Ensure that replacement is not prohibited by any other guidance contained in this Requirement.
  - ii. Ensure that replacement is more cost effective than repair and maintain justification documentation in client file.
  - iii. Input the appliance the NEAT/MHEA program to determine potential energy savings at an ECM with an SIR of 1.0 or above. Documentation [NEAT/MHEA Input Report] to show this attempt of cost justification should be kept in client file.
  - iv. If the replacement appliance results in an ECM with an SIR of 1.0 or above, replace as a regular ECM.
  - v. If the NEAT/MHEA program does not determine the combustion appliance to be an ECM, replace appliance using H&S funds.
  - vi. Replacement units must meet safety guidelines as determined in the DOE approved Oklahoma State Plan or Oklahoma Field Guide.

**C. Testing Protocols:**

- a. Combustion Safety testing is required when combustion appliances are present.

- b. Test naturally drafting appliances for spillage and CO during CAZ depressurization testing pre- and post-weatherization and before leaving the home on any day when work has been done that could affect draft (e.g., tightening the home, adding exhaust).
- c. Inspect cook stove burners for operability and flame quality
- d. Inspecting venting of combustion appliances and confirm adequate clearances.

**D. Client Education.**

- a. Provide client with combustion safety and hazards information sheet.
- b. Discuss with client the importance of using ventilation when cooking and the importance of keeping burners clean to limit the production of CO.
- c. The homeowner shall be notified of the results of all combustions safety tests.

**E. Training:**

- a. How to perform appropriate testing, determine when a building is excessively depressurized, and the difference between air free and as-measured CO.
- b. CO action levels.

## **8. ELECTRICAL**

**A. Allowability:**

- a. Visual inspection, voltage drop and voltage detection testing are allowed, provided the cost meets the criteria in [Section I, B.](#)
- b. H&S funds may be used to replace a circuit, if required for insulation. It would likely cost less than labor for this treatment, and will provide better insulation value for attic.
- c. Minor knob and tube wiring electrical repairs are allowable, provided the following conditions are met:
  - i. The testing results indicate that the knob-and-tube wiring is live resulting in the health and safety of the occupant or workers being at risk.
  - ii. The cost meets the criteria in [Section I, B.](#)
  - ii. The repairs meet the definition of incidental repair.
- d. Other minor electrical repairs are allowable provided the following conditions are met:
  - i. The health and safety of the occupant or workers is at risk
  - ii. The cost meets the criteria in [Section I, B.](#)
  - iii. The repairs are \$1,200 or less

**B. Actions:**

- a. Evaluate and if necessary provide sufficient over-current protection and damming (if required) prior to insulating building components containing knob and tube wiring, as required by the AHJ

**C. Testing Protocols:**

- a. Visual inspection for the following should also always be conducted:
  - i. Presence and condition of knob-and-tube wiring
  - ii. Alterations that may create an electrical hazard
- b. Voltage drop and voltage detection should be done when applicable.

**D. Client Education.**

- a. Provide information sheet on Electrical Safety and discuss the risks on over-current protection, overloading circuits, and other electrical safety/risks.

**D. Training:**

- a. How to identify electrical issues and types of hazards –
  - i. Improper grounding
  - ii. Exposed electrical parts
  - iii. Inadequate wiring
  - iv. Damaged insulation on wiring
  - v. Knob and tube wiring
  - vi. Overload circuits
  - vii. Wet conditions
- b. Local or AHJ code compliance
- c. How to educate clients

**9. FORMALDEHYDE, VOLATILE ORGANIC COMPOUNDS, FLAMMABLE LIQUIDS, and OTHER AIR POLLUTANTS**

**A. Allowability:**

- a. Removal of pollutants is allowed and is required if they pose a risk to workers, provided the cost meets the criteria in [Section I, B.](#)
- b. Correction of fire hazards is allowed when necessary to safely perform weatherization, provided the cost meets the criteria in [Section I, B.](#)

**B. Actions:**

- a. During initial inspection and during the course of weatherization work, check for fire hazards and any pollutants.
- b. If pollutants or fire hazards pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.
- c. Workers should take precautions to ensure that no weatherization measures will create or exacerbate potential fire hazards.
- d. Insulation should not cover the pressure relief valve, end of the drip leg, draft hood, burner air inlet, pilot light access door, thermostat control, drain valve, or the top of the water heater on natural gas or propane water heaters.
- e. Insulation shall not cover the pressure relief valve, end of the drip leg, high limit switch, and plumbing pipes or drain valve on electric water heaters.
- f. When adding insulation to attic, shielding shall be installed around heat and high heat sources, including double-walled pipes, as per SWS requirements.
- g. Weatherization materials shall not be installed over or adjacent to outlets, switches, or junction boxes that contain aluminum wiring. Open wire splices shall not be covered with insulation until they have been enclosed with proper junction boxes.
- h. If potentially dangerous creosote buildup in chimneys or wood stoves is identified, health and safety funds may be used to repair the unsafe solid fuel combustion heating system, within DOE/ODOC budgetary limits.
- i. Refer to Hazardous Materials Disposal for more information regarding proper disposal of pollutants

**C. Testing Protocols:**

- a. Sensory Inspection

**D. Client Education.**

- a. Inform client in writing of observed hazardous condition(s) and associated risks
- b. Provide client written materials on safety issues and proper disposal of household pollutants
- c. When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence **[Form 33]**.

**E. Training:**

- a. How to identify Formaldehyde, Volatile Organic Compounds, Flammable Liquids, and other Air Pollutants and how to determine when removal is necessary.
- b. Proper storage of pollutants
- c. How to educate clients.

**10. FUEL LEAKS (for all fuel types)**

**A. Allowability:**

- a. Fuel leak testing is allowed, provided the cost meets the criteria in [Section I, B.](#)
- b. Fuel leak remediation/repair is not allowed.

**B. Actions:**

- a. During the initial audit, workers should test exposed gas lines for fuel leaks from utility coupling into and throughout the home. **As long as a fuel leak is present, weatherization work may not proceed.**
- b. When a leak is identified, it should be noted and the worker should determine whether it the responsibility of the utility company or the client.
  - i. When a minor gas leak is found on the utility side of service, the utility service must be contacted before work may proceed.
  - ii. Fuel leaks that are the responsibility of the client must be repaired (at the client cost) before weatherizing the unit. **Workers must notify the utility company about the leak before leaving the client home.**

**C. Testing Protocols:**

- a. Test exposed gas lines for fuel leaks from utility coupling into, and throughout, the home.
- b. Conduct sensory inspection on bulk fuels to determine if leaks exist.

**D. Client Education.**

- a. Inform clients in writing if fuel leaks are detected.
- b. When a home is deferred due to a fuel leak, this should be explained to the client in writing **[Form 33]**

**E. Training:**

- a. Fuel leak testing

## 11. GAS OVENS/STOVETOPS/RANGES

### A. Allowability:

- a. Standard maintenance on or repair of gas cooktop and ovens is allowed, provided the cost meets the criteria in [Section I, B](#).
- b. Replacement is not allowed.
- c. Stovetop burner CO testing is allowed.

### B. Actions:

- a. All gas ovens should be tested for CO. Subgrantee Recipients must follow the Ambient CO and CO Limit Action Tables in the BPI 1200 Standards Chart **[Attachment 28]**
- b. Inspect all cooking burners and ovens for operability and flame quality, and conduct stovetop burner CO testing.
  - i. If burners do not ignite properly or do not burn cleanly (if there is any discoloration, flame impingement, an irregular pattern, or if burners are visibly dirty, corroded, or bent), a clean and tune of the appliance should be completed.
  - ii. If the appliance is located in a confined space and mechanical ventilation is not readily available, mechanical ventilation must be recommended. ASHARE 62.2 must be followed when installing mechanical ventilation.
- c. A thorough visual inspection of all gas appliances' venting must be conducted, including that portion of the vent running through attic space as well as the roof. Vents that are loose, rusted, or poorly connected shall be noted in the client file and corrective action taken.

### C. Testing Protocols:

- a. Test gas ovens for CO.
  - i. Remove any items/foil on or in oven.
  - ii. Make sure self-cleaning features are not activated, set oven to highest setting.
  - iii. Test oven for CO in flue, before dilution of air.
  - iv. After 5 minutes of operation, check for steady-state.
  - v. If the CO reading is below 225ppm, no action is needed.
  - vi. If the CO reading is 225 ppm or greater, advise the home owner/occupant that the appliance should be serviced immediately by a qualified professional. Weatherization must stop and not proceed until the appliance is serviced.
  - vii. CONTINUALLY MONITOR AMBIENT CO LEVELS DURING ALL TESTING and follow the table below **[Attachment 28]**



| Ambient CO                                | Result           | Action Required  |
|---|------------------|--|
| <b>Ambient CO<br/>Per ANSI/BPI Page 5</b> | 9ppm -<br>35ppm  | *Advise homeowner/occupant of elevated levels of ambient CO.<br>*Open all Windows and doors.<br>*Recommend all possible sources of CO be tested.<br>*Where it appears that the source of CO is a permanently installed appliance, the homeowner/occupant shall be advised to contact a qualified professional.   |
|   | 36ppm -<br>69ppm | * Immediately terminate inspection until CO levels are under 35ppm.<br>*Advise homeowner/occupant of elevated levels of ambient CO.<br>*Open all Windows and doors.<br>*Recommend all possible sources of CO turned off immediately.<br>*Where it appears that the source of CO is a permanently installed appliance, the homeowner/occupant shall be advised to contact a qualified professional. |
|   | 70ppm            | *Immediately terminate inspection, notify homeowner & occupants to evacuate building. The appropriate emergency services shall be notified from outside the home.  |

**D. Client Education.**

- Inform clients of the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.
- Provide client with Combustion Safety info sheet and discuss the risks and warning signs associated with high CO in a household.

**E. Training:**

- Oven and stovetop burner CO and gas leak testing.
- CO Action levels required based on results of testing.
- How to educate clients.

**12. HAZARDOUS MATERIALS DISPOSAL – Refrigerant, Asbestos, Lead, Mercury, CFLs/Fluorescents**

**A. Allowability:**

- Costs associated with hazardous materials waste disposal generated in the course of weatherization work is allowable, as outlined in this requirement.

**B. Actions:**

- All hazardous materials waste that needs to be disposed of shall be disposed of according to all federal, state, and local laws, regulations, and guidelines, as applicable.

- i. Household hazardous wastes are excluded from the federal Resource Conservation Recovery Act (RCRA) regulations<sup>26</sup>. Furthermore, “the EPA does not distinguish between waste generated at a household by a homeowner and waste generated at a household by a person other than the homeowner (e.g. contractor) provided that the waste is generated as part of daily living (e.g. routine residential maintenance)”<sup>27</sup>.
- b. Oklahoma Subgrantee Recipients likely meet the EPA definition of a Very Small Quantity Generator<sup>28</sup>, which are exempt from the federal hazardous waste regulations provided they meet specific requirements, as specified in 40 CFR 262.14<sup>29</sup>. The following wastes have specific disposal requirements or recommendations that must be followed:

- i. **Refrigerant Disposal** - REQUIRED

- (a) Subgrantee Recipients contract out refrigerator replacement and disposal to third party contractors. Subgrantees Recipients are responsible for obtaining assurances from the third party contractor that refrigerants were handled of according to the Clean Air Act 1990, section 608, as amended, and 40 CFR Part 82, 5/14/93.
- (b) Subgrantee Recipients must retain the following disposal information for subcontractors [**Form 31**]:
  - 1. Name of subcontractor;
  - 2. Date and time of removal;
  - 3. Disposal site;
  - 4. Certification of proper disposal.

- ii. **Lead Based Paint Disposal**<sup>30</sup>-REQUIRED

- (a) Collect and control all waste including dust, debris, paint chips, protective sheeting, HEPA filters, dirty water, clothes, mop heads, wipes, protective clothing, respirators, gloves, architectural components and other waste.
- (b) Use heavy plastic sheeting or bags to collect waste. Seal the bag securely with duct tape. Consider double bagging waste to prevent tears. Large components should be wrapped in protective sheeting and sealed with tape.
- (c) Bag and seal all waste before removing it from the work area.
- (d) Store all waste in a secure container or dumpster until disposal
- (e) Limit on-site storage time.
- (f) Avoid transporting waste in an open truck or personal vehicle.

- iii. **Water Heaters, Heating Systems, Unvented Space Heaters, Cooling Systems, Bulk Fuel Tank Disposal** - REQUIRED

- (a) Subgrantee Recipients contract out these replacements and disposal to third party

<sup>26</sup> <https://www.epa.gov/hw/household-hazardous-waste-hhw>

<sup>27</sup> [https://yosemite.epa.gov/osw/rcra.nsf/0c994248c239947e85256d090071175f/237012C5A1EC5AFD8525670F006BF20D/\\$file/11897.pdf](https://yosemite.epa.gov/osw/rcra.nsf/0c994248c239947e85256d090071175f/237012C5A1EC5AFD8525670F006BF20D/$file/11897.pdf)

<sup>28</sup> Conditionally Exempt Small Quantity Generators will be known as Very Small Quantity Generators when the Hazardous Waste Generator Improvements Rule become effective in Oklahoma in September 2018. Very Small Quantity Generators generate less than 220lbs monthly, <https://www.epa.gov/hwgenerators/categories-hazardous-waste-generators>.

<sup>29</sup> Effective in Oklahoma in September 2018, formerly 40 CFR 261.5

<sup>30</sup> EPA-HUD (2009), Lead Safety for Renovation Repair, and Painting Model Certified Renovator Initial Training Course, Student Manual, p. 23

contractors. Subgrantee Recipients are responsible for obtaining assurances from the third party contractor that these items were disposed of according to applicable State and Federal laws, when appropriate.

- (b) Subgrantee Recipients must retain the following disposal information for subcontractors **[Form 31]**:

1. Name of subcontractor;
2. Date and time of removal;
3. Disposal site;
4. Certification of proper disposal.

iv. **All other potential hazardous materials waste, including, but not limited to, oil based paint or solvent, paint thinners, glue, and spray foam** – RECOMMENDED

- (a) Although not required, as Very Small Quantity Generators, in the interest of client and environmental safety, Subgrantee Recipients are strongly encouraged to purchase a drum to store these types of wastes, and contact a hazardous waste disposal services company to periodically pick up for proper disposal. Subgrantee Recipients would need to properly identify the hazardous material waste, following RCRA and EPA code requirements. For assistance with this, Subgrantee Recipients should contact the Oklahoma Department of Environmental Quality.

**C. Testing Protocols**

- a. EPA testing protocols.

**D. Client Education**

- a. Inform clients in writing of hazards associated with hazardous waste materials being generated/handled in the home.
- b. Clients should not disturb any refrigerant.
- c. See Section 14 – Lead Based Paint for additional client education requirements if lead is found in the home.

**E. Training**

- a. Appropriate Personal Protective Equipment (PPE) for working with hazardous waste materials.
- b. Disposal requirements and locations.
- c. Health and environmental risks related to hazardous materials.

**13. INJURY PREVENTION OF OCCUPANTS AND WEATHERIZATION WORKERS**

**A. Allowability:**

- a. When necessary to effectively weatherize the home, provided the cost meets the criteria in [Section I, B.](#), workers may make minor repairs and installations, as defined by ODOC.

**B. Actions:**

- a. During initial inspection, make any notes in client file regarding potential hazards to either workers or occupants, and if these hazards need to be fixed before weatherization can proceed. Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks.

- b. If the hazards can be fixed through minor repairs and installations, and are within ODOC policy, workers can take the necessary actions to fix the hazards.
  - i. Minor repairs are those that meet the following criteria:
    - (a) \$750 dollars or less
    - (b) Do not require a special license
    - (c) Can be justified as injury prevention in the course of weatherization work through photo documentation.
- c. Some examples of allowable injury prevention measures are: repairing a stair, replacing a handrail, and patching a hole.
- d. If hazards cannot be fixed or are outside the scope of ODOC/DOE policy, defer the home. When in doubt, request ODOC advisement.

**C. Testing Protocols:**

- a. Inspect for dangers that would prevent weatherization.

**D. Client Education:**

- a. If conditions are outside the scope of ODOC and DOE policy, inform client in writing of observed hazards and associated risks, and what repairs must be made before weatherization work can proceed if deferral becomes necessary **[Form 33]**.

**E. Training:**

- a. Hazard identification

## 14. LEAD BASED PAINT

**A. Allowability:**

- a. Testing to determine the presence of lead in paint that will be distributed by WAP measure installation is allowed with EPA-approved testing methods.
- b. Only those costs directly associated with the testing and lead safe practices for surfaces directly disturbed during weatherization activities should be charged to the health and safety budget. Testing methods must be economically feasible and justified.

**B. Actions:**

- a. Crews must follow EPA's Lead: Renovation, Repair, and Painting Program (RRP) when working in pre-1978 housing unless testing confirms the work area to be lead free. Homes built from 1978 on may be assumed free of lead based paint without testing.
  - i. In homes built prior to 1940, it is logical to assume the presence of lead based paint and save the cost of testing.
- b. When a WAP measure might disturb paint in a home built before 1978, testing must be done to determine the presence of lead by a Certified Renovator. The following documentation must be kept in the client file to verify that proper RRP procedures and testing was taken on the home<sup>31</sup>:
  - i. The agency verified date of the home must be documented in the client file **[Form 22]**
  - ii. Full documentation of lead safe testing and assessment, with clear indication of the test, and the results must be maintained in client file **[Form 42]**

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<sup>31</sup> See also Requirement 304

- iii. Documentation of all Lead Safe work, with clear indication of the process and specific actions taken on the unit must be documented in client file **[Form 43]**
  - iv. A Signed copy of "Confirmation of Receipt of Lead Pamphlet," client approval to proceed with work **[Attachment 35]**;
  - vii. Before photos of site, containment photos, and after photos of site must be included as per the client file checklist **[Form 39]**
  - viii. Copy of the Certified Renovator certification.
- c. All weatherization providers must comply with Certified Renovator requirements as stipulated by the Oklahoma Department of Environmental Quality/DOE.
  - d. Deferral is required when the extent and condition of lead-based paint in the house would potentially create further H&S hazards **[Form 33]**. The mere presence of lead based paint is not considered a justifiable reason to defer or walk away from a home.

**C. Testing Protocols:**

- a. Job site set up and cleaning verification is required by a Certified Renovator.
- b. Only EPA/DEQ approved lead testing kits are allowable for lead testing. Per OSHA standards, wear nitrile gloves when testing for lead. Containment of lead chips created during lead testing and disposal of lead test must be completed by following the RRP guidelines.

**D. Client Education:**

- a. Fully notifying client of potential lead safe hazards prior to and after weatherization work on **[Form 25]**. This must be signed and kept in client file.
- b. Provide client with EPA's most current guide - "[The Lead Safe Certified Guide to Renovate Right](#)" **[Attachment 35]** to educate client of the dangers of lead poisoning and the lead renovation process.

**E. Training:**

- a. All employees and contractors working on pre-1978 homes must receive training to install measures in a lead-safe manner in accordance with the SWS and EPA protocols, and installation must be overseen by an EPA Certified Renovator. For additional training guidance, see Requirement 311.
- b. In Oklahoma, Certified Renovator training and certification is through Oklahoma's Department of Environmental Quality (ODEQ). The Oklahoma Association of Community Action Agencies provides ODEQ RRP training regularly.
- c. ODOC will monitor for lead safe practice compliance with SWS and EPA protocols. The State Quality Control Inspector that does the quality assurance inspections must be a certified renovator.
- d. Training for Lead Safe Weatherization, although no longer required as of April 1, 2018, can still be paid for with DOE WAP funds.
- e. Documenting all lead safe training for new or uncertified RRP employees and that all work was supervised by a Certified Renovator **[Forms 40 and 41]**

## 15. MOLD AND MOISTURE

### A. Allowability:

- a. Minor water damage repairs are allowed that meet the following criteria:
  - i. \$750 dollars or less
  - ii. The cost meets the criteria in [Section I, B](#)
  - iii. Do not require a special license, that can be addressed by workers
  - iv. Can be justified as in the course of weatherization work through photo documentation.
  - v. When necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures.
- b. Source control (the correction of moisture and mold creating conditions, independent of latent damage and related repairs) is allowed when necessary in order to weatherize a home and to ensure the long-term stability and durability of the measures.
- c. Mold testing, remediation, and cleanup are not allowable costs.
- d. Surface preparation where weatherization measures are being installed (e.g., cleaning mold off window trim in order to apply caulk, repair/replace deteriorated sheetrock or ceiling tile.) are allowable, but as part of the ECM, not the H&S budget category.
- e. Adding mechanical ventilation is allowed

### B. Actions:

- a. Subgrantee Recipients should ensure that regular weatherization work is performed in a manner that does not contribute to mold problems and when the work is performed properly, can alleviate many mold conditions.
- b. During the initial audit, visual testing for mold and exterior drainage should be done. Anything found should be noted in client file **[Form 28]**
- c. Diagnostics such as moisture meters are recommended pre-weatherization and at the final inspection.
- d. If indoor relative humidity (RH) is at or above 60% or there is obvious evidence that a moisture problem exists (such as indoor mold or mildew) and cannot be abated within WAP cost limitations, then air sealing work must not be done. This does not include incidental repair items or repair/replacement of doors and windows. A unit with an indoor RH at or above 60% is to be considered "non-feasible" for blower door testing

| Excess Moisture                 | Mitigation Methods |
|---------------------------------|--------------------|
| Bathroom (not from leaky pipes) | Install vent fan   |
| Kitchen (not from leaky pipes)  | Install vent fan   |
| Dryer                           | Vent Properly      |

- e. When it is determined that weatherization activities can be accomplished, the Subgrantee Recipient shall provide information to the client that specifically entails what was/will be done to the home that is expected to alleviate the mold condition and/or should not promote new mold growth. The notification/disclaimer shall be discussed with and signed by the client and/or property owner. **[Form 32]**

**C. Testing Protocols:**

- a. Visual assessment and
- b. Diagnostics such as moisture meters are recommended pre and prior to final inspection.

**D. Client Education:**

- a. If mold or moisture problems are suspected or identified, Subgrantee Recipients must have clients sign a Mold Disclosure **[Form 32]**, and provide a copy of [A Brief Guide to Mold, Moisture and Your Home](#) **[Attachment 22]**.
- b. Provide information on importance of cleaning and maintaining drainage systems.
- c. Provide information on proper landscape design and how this impacts site drainage and moisture control.
- d. When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization work to commence **[Form 33]**.

**E. Training:**

- a. Training should be based on a National Curriculum on mold and moisture, such as the EPA Mold Web Course **[Attachment 21]**, and include at a minimum, the following training learning objectives:
  - Mold Identification
  - Mold Health Effects
  - Biocides
  - Moisture Problem Identification
  - Humidity Problems in HVAC Systems
  - Structural Integrity and Mold Growth.
- b. How to recognize drainage issues that can become mold problems.
- c. How to identify and recognize a mold or moisture problem.

## **16. OCCUPANT PRE-EXISTING OR POTENTIAL HEALTH CONDITIONS**

**A. Allowability:**

N/A

**B. Actions:**

- a. During the application process, occupants must complete the Indoor Air Quality and Safety Checklist **[Form 22A]**. This checklist asks the occupants to indicate any health problems of anyone in the households. Workers should carefully consider the responses to this checklist.
- b. When a person's health may be at risk and/or the worker's activities could constitute a health and safety hazard, the occupants at risk will be required to take appropriate action based on the severity of the risk.
- c. Failure or the inability to take appropriate actions must result in deferral **[Form 33]**.
- d. Some weatherization materials and activities have the potential to create or exacerbate clients' health problems. Weatherization crews should use caution when weatherizing homes with clients with asthma, COPD (pulmonary lung diseases), allergies, etc., which can worsen during and after weatherization work.

**C. Testing Protocols:**

- a. Screen occupants to reveal known or suspected health concerns as part of the initial application for weatherization, during the audit, or both.

**D. Client Education:**

- a. Inform client in writing of any known risks.
- b. Provide client with agency contact information in writing so client can inform of any issues.
- c. When deferral is necessary, provide information in writing describing the conditions that must be met in order for weatherization to commence **[Form 33]**.

**E. Training:**

- a. How to assess preexisting conditions and determining what action to take if the home is not deferred.
- b. Awareness of potential hazards.

**17. PESTS**

**A. Allowability:**

- a. Pest removal is allowed only where infestation would prevent weatherization, and the cost meets the criteria in [Section I, B](#).
- b. Screening of windows and points of access is allowed to prevent infestation.

**B. Actions:**

- a. During initial audit and during the course of weatherization work, workers should be aware of and conduct visual inspections for pests.
- b. Pests removal can be done (and should be when possible) in situations which meet the following:
  - i. Infestation prevents weatherization
  - ii. Pests can be reasonably removed
- c. As long as the invoice dates are within the program year, a lease, if required by vendor, may be paid for upfront, provided the cost is reasonable and within the agency's H&S budget, and the pest problem warrants multiple treatments.
- d. Infestation of pests may be cause for deferral where it cannot be reasonably removed, is not cost-effective (outside the Subgrantees Recipient's H&S budget) or poses health and safety concerns for workers **[Form 33]**.

**C. Testing Protocols:**

- a. Assessment of presence and degree of infestation and risk to worker

**D. Client Education:**

- a. Inform client in writing of observed conditions and associated risks.
- b. Provide Pest Health Threats information sheet client if applicable.
- c. When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence **[Form 33]**.



**E. Training:**

- a. How to assess presence and degree of infestation, associated risks, and need for deferral.

**18. RADON**

**A. Allowability:**

- a. Radon mitigation is not an allowable H&S cost.
- b. Testing may be allowed in locations with high radon potential. Contact ODOC for approval if this situation occurs.

**B. Actions:**

- a. All clients, in all zones, must sign an informed consent form prior to receiving weatherization services. This form must be kept in the client file [see client education section below]. Major radon problems should be referred to the appropriate local environmental organization or agency for abatement.
- b. In homes where radon may be present, work scope should include precautionary measures based on [EPA Healthy Indoor Environment Protocols for Home Energy Upgrades](#) [Attachment 31], to reduce the possibility of making radon issues worse.
- c. Whenever site conditions permit, cover exposed dirt floors within the pressure/thermal boundary with 6 mil (or greater) polyethylene sheeting, lapped at least 12" and sealed with appropriate sealant at all seams, walls and penetrations.
- d. Other precautions may include, but are not limited to, sealing any observed floor and/or foundation penetrations, including open sump pits, isolating the basement from the conditioned space, and ensuring crawl space venting is installed.

**C. Testing Protocols:**

- a. Radon testing with ODOC approval.

**D. Client Education:**

- a. Provide all clients EPA's [A Citizen's Guide to Radon](#) [Attachment 32] and inform them of radon related risks.
- b. All clients must sign a consent form [Form 22 or Form 36]<sup>32</sup> and must receive the following information. Both the consent and education must be documented in the client file [Form 25].
  - i. Information from the results of the IAQ Study that there is a small risk of increasing radon levels when building tightness is improved;
  - ii. A list of precautionary measures WAP will install based on EPA Healthy Indoor Environment Protocols; some of the benefits of Weatherization including energy savings, energy cost savings, improved home comfort, and increased safety; and

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<sup>32</sup>Only one (1) signed radon consent form is required per client file. Whether the client signs Form 22 or Form 36 depends on whether the client has already completed an application and is on the wait list. Clients who have an application on file that is less than 12 months old, only need to sign Form 36. However, if a client has an application on file that is 12 months or older, a new Form 22 client application must be completed instead.

- iii. Confirmation that EPA's [A Citizen's Guide to Radon](#) [Attachment 32] was received and radon related risks discussed with the client.

**E. Training:**

- a. Auditors, assessors and inspectors must have knowledge of radon, what it is and how it occurs, including what factors may make radon worse, and precautionary measures that may be helpful.
- b. Workers must be trained in proper vapor retarder installation.
- c. The EPA Radon map uses 3 "zones" to indicate the likelihood of radon being present and levels determined to be potentially dangerous. Most of Oklahoma's counties are in Zone 3, although Cimarron, Texas, Beaver, Ellis, Delaware, Mayes, Cherokee, Adair, and Sequoyah are all in Zone 2. An Oklahoma zonal map can be located at the [EPA website](#). [Attachment 33]
  - Zone 1 indicates average indoor screening levels above the recommended maximum of 4 pCi/L.
  - Zone 2 ranges from 2 – 4 pCi/L.
  - Zone 3 average indoor screening levels are less than 2 pCi/L.

**19. SAFETY DEVICES: SMOKE AND CARBON MONOXIDE ALARMS, FIRE EXTINGUISHERS**

**A. Allowability:**

- a. Smoke alarms, limited to the relatively inexpensive, battery operated type, must be installed where alarms are not present or are inoperable, provided the cost meets the criteria in [Section I, B](#).
- b. Replacement of operable ~~detectors~~ alarms is not an allowable cost.
- c. Providing fire extinguishers is an allowable cost when solid fuel is present, and the cost meets the criteria in Section I.B.

**B. Actions:**

- a. During the energy audit, a unit should be inspected for smoke and carbon monoxide alarms, and fire extinguishers [if applicable].
- b. If an alarm or fire extinguisher is located, it should be tested to determine whether it is an operable device.
  - i. If not operable, the assessor should determine how many smoke alarms are necessary for the home and if any fire extinguishers are warranted (if solid fuel burning equipment is present).
    - (a) Subgrantee Recipients should only install the more expensive smoke detectors, which require wiring to the home's electrical system, when these types of units are required by applicable codes.
  - ii. All units must have a digital CO installed, regardless of fuel source.
    - (b) Carbon Monoxide alarms must be installed according to Underwriters Laboratories Standards for Safety ANSI/UL 2034-09 or newer if available.

**C. Testing Protocols:**

- a. Check existing alarms for operation.
- b. Verify operation of installed alarms.

**D. Client Education:**

- a. Provide client with verbal and written information on use of devices installed.

**E. Training:**

- a. Where to install alarms.
- b. Local code compliance.

## **20. VENTILATION AND INDOOR AIR QUALITY**

**A. Allowability:**

- a. Costs associated with implementing and following ASHRAE 62.2 2016 are allowed, provided the cost meets the criteria in Section I.B.
- b. Continuous kitchen exhaust not permitted for non-enclosed kitchens

**B. Actions:**

- a. Subgrantee Recipients will follow AHSRAE 62.2 2016 per DOE policy. Most of Oklahoma is in Climate Zone 3; the panhandle is in Climate Zone 4.
- b. If the ASHRAE normative Appendix A is employed and an existing fan is being replaced or upgraded to meet whole-house ventilation requirements, take actions to prevent zonal pressure differences greater than 3 pascals across the closed door, if one exists.
- c. During initial inspection, agency will inventory existing viable fans
- d. Measure Exhaust Fan Flow with Fan Flow Meter and Digital Manometer (you will need pre blower door reading @CFM50 prior to conducting pre fan flow measurements) [Form 38].
- e. Estimate post weatherization blower door @CFM50
- f. Fill out ASHRAE 62.2.2016 Ventilation Calculation Spreadsheet.  
<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222016>
- g. If Continuous Ventilation to Add is above 15 CFM, per the ASHRAE 62.2 2016 Ventilation Calculation Spreadsheet, determine the best solution to provide ventilation required to reach CFM required by considering the following options:
  - i. Exhaust only Fans (Spot Ventilation) - best in moderate and cold- climates
    - (a) Continuous or intermittent (must have an adjustable switch)
  - ii. Balanced
    - (a) Continuous or intermittent (must have adjustable switch if intermittent)
    - (b) Fan driven air in & out, controlled air
  - iii. Sound rating requirement
    - (a) Must be met at or below 1 sone whole building fan at or below 3 sones for local occupant controlled fans (kitchen and bath exhaust).
    - (b) Remotely mounted fans or systems utilizing a central air handler fan have no sound rating requirement.
    - (c) Newly installed local exhaust ventilation systems that are not run continuously shall have a sound rating of 3.0 sones or less, unless they have a maximum rating of 400 CFM.

- h. Verify the operation of all local and/or whole building ventilation equipment (Before and After using the Ventilation Calculation Spreadsheet).
- i. NOTE for areas located outside of the thermal boundary that are having issues reaching the 6% requirement<sup>33</sup>, per DOE: seal all exposed ductwork as completely as possible using reasonably diligent efforts, but leave any inaccessible ductwork alone.
- j. Before and After fan flow must be verified in client file **[Form 28]**

**C. Testing Protocols:**

- a. ASHRAE 62.2 evaluation to determine required ventilation
- b. Measure fan flow of existing fans and of installed equipment to verify performance.

**D. Client Education:**

- a. Educate client on function, use, and maintenance (including location of service switch and cleaning instructions) of ventilation system and components.
- b. Provide info sheet on Indoor Air Quality, to include a disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.
- c. Provide client with equipment manuals and warranties for installed equipment **[Form 35 and Form 48]**
- d. Provide client with Ventilation client information sheet.

**E. Training:**

- a. ASHRAE 62.2 2016 training is required and includes proper sizing, evaluation of existing and new systems, depressurization tightness limits, critical air zones, and etc.

## **21. WINDOW AND DOOR REPLACEMENT, WINDOW GUARDS**

**A. Allowability:**

- a. Not allowed

**B. Actions:**

- a. N/A

**C. Testing Protocols:**

- a. N/A

**D. Client Education:**

- a. If lead is present in home, provide client with Renovate Right Brochure and educate client on the risks of lead in the home.

**E. Training:**

- a. Awareness of guidance

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<sup>33</sup> HVAC systems that include air handlers or ducts located outside the pressure boundary shall have total air leakage of no more than 6% of total fan flow when measured at 0.1 in. of water (25 Pa) using California Title 24 10 or equivalent. [ASHRAE Standard 62.2.2016 Section 6.5.2](#)

## 22. WORKER SAFETY

### A. Allowability:

- a. Costs to comply with these requirements may be charged to the Health and Safety budget, provided they meet the criteria in Section I.B.

### B. Actions:

- a. Workers must follow Occupational Safety and Health Administration Standards and Safety Data Sheets (SDS) and take precautions to ensure the health and safety of themselves and other workers.
- b. SDS must be posted wherever workers may be exposed to hazardous materials. This could include keeping all SDS in weatherization work vehicles while working at a client home.
- c. Workers should check for Spray Polyurethane Foam (SPF) penetrations in the building envelope. If detected:
  - i. Use [EPA Safety Tips for Weatherizing with Spray Polyurethane Foam](#) [Attachment 34] when working within the conditioned space or when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam will be applied, take precautions so that fumes will not transfer to inside conditioned space, and exhaust fumes outside the home.
- d. Workers should NOT hesitate to defer a home if a client is physically or verbally threatening. If this happens, **Form 33** should be completed, and the situation thoroughly documented, but a client signature is not necessary.

### C. Testing Protocols:

- a. Grantees (ODOC monitors) must perform assessments to determine if crews are utilizing safe work practices.
- b. Subgrantee Weatherization Directors and crew leaders are responsible to provide safe working environments (with training, and the proper tools and safety equipment) for their crews and weatherization clients.
- c. Sensory inspection inside the home for SPF fumes during foam application

### D. Client Education:

- a. If using SPF, provide notification to the clients of plans to use two-part foam and the precautions that may be necessary.

### E. Training:

- a. Use and importance of personal equipment.
- b. OSHA 10-hour training is required for all workers.
- c. OSHA 30 training is required for Crew Leaders.
- d. Ongoing training is required in Hazard Communication Program.
- e. Training on use of various products with specification for each application type.
- f. SDS sheets.
- g. Temp sensitivity.
- h. If time and resources allow, ODOC may periodically conduct in-progress inspections to observe the health and safety practices of the workers.

## 23. WATER HEATERS

### A. Allowability:

- a. Repair and cleaning is allowed, provided the cost meets the criteria in Section I.B.
- b. If repair and cleaning is not sufficient, and the water heater is leaking and rusted, water heater replacement is allowed, provided the agency has first attempted to justify replacement as an ECM, and the costs meet the criteria in Section I.B.

### B. Actions:

- a. During the initial audit, determine whether the water heater is performing safely. Water heaters must be inspected to determine if they are operational, non- operational, repairable, and/or non-repairable. Relevant information must be entered into the NEAT or MHEA.
- b. Input the water heater in the NEAT/MHEA program to determine potential energy savings at an ECM with an SIR of 1.0 or above. Documentation [NEAT/MHEA Input Report] to show this attempt of cost justification should be kept in client file.
  - i. If the water heater replacement results in an ECM with an SIR of 1.0 or above, replace as a regular ECM.
  - ii. If the NEAT/MHEA program does not determine the water heater replacement to be an ECM, replace using H&S funds.
  - iii. Document reason for replacing water heater using H&S funds on the Energy Audit Form **[Form 28]**
- c. Subgrantee Recipients shall accomplish the following services for electric water heaters **not** replaced, if audit justified:
  - i. Pipe insulation;
  - ii. Water heater blanket;
  - iii. Thermostat set to 120 degrees maximum;
  - iv. Check for leakage;
  - v. Replacement of low-flow showerhead.
- c. Electric water heaters shall be replaced with another electric water heater only. Gas water heaters may be replaced under health and safety only. Fuel change is not allowable.

### C. Testing Protocols:

- a. Combustion testing

### D. Client Education:

- a. Provide client with Combustion Safety info sheet and discuss the risks and warning signs associated with high CO in a household

### E. Training:

- a. Awareness of guidance
- b. CAZ testing

#### IV. FORMS

|          |   |
|----------|---|
| Form 22  | WX Client Application [includes Radon Consent Form] |
| Form 22A | Indoor Air Quality and Safety Checklist             |
| Form 23  | WX Needs Assessment Priority                        |
| Form 24  | Denial Letter                                       |
| Form 25  | Client H&S Education Checklist                      |
| Form 28  | Energy Audit Form                                   |
| Form 31  | Hazardous Materials Disposal Verification           |
| Form 32  | Mold Disclosure                                     |
| Form 33  | Deferral Form                                       |
| Form 35  | Client Satisfaction Form                            |
| Form 36  | Radon Consent Form                                  |
| Form 39  | Client File Checklist                               |
| Form 40  | Cert Renovator On the Job Training Log              |
| Form 42  | Test Kit Documentation                              |
| Form 43  | Renovation Recordkeeping Checklist                  |
| Form 44  | Quality Control Report                              |
| Form 48  | Warranties Verification                             |
| Form 49  | H&S Measure Quarterly Report                        |

AHSRAE Calculation Form

<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222016>

#### V. ATTACHMENTS

All attachments can be found in the Community Action Implementation Manual

|                |   |
|----------------|---|
| Attachment 10b | Other Federal Regs on Lead-Based Paint        |
| Attachment 12  | Final Cleanup Interior and Exterior Checklist |
| Attachment 21  | EPA Mold Web Course                           |
| Attachment 22  | A Brief Guide to Mold, Moisture and Your Home |
| Attachment 27  | BPI 1200 Standards Guide                      |
| Attachment 28  | BPI 1200 Standards Chart                      |
| Attachment 31  | EPA Healthy Indoor Environment Protocols      |
| Attachment 32  | A Citizen's Guide to Radon                    |
| Attachment 33  | EPA Radon Zone Map of Oklahoma                |
| Attachment 34  | EPA Safety Tips for WX with SPF               |
| Attachment 35  | Renovate Right Pamphlet and Receipt           |
| Attachment 36  | Duct Blaster Testing Info Sheet               |

## VI. RESOURCES

### **Federal:**

- Allowable Expenditure Federal Guidelines:  
[10CFR Part 440.18\(d\)\(15\)](#)
- Weatherization Program Notice 17-7  
<https://www.energy.gov/eere/wipo/downloads/wpn-17-7-weatherization-health-and-safety-guidance>
- Environmental Protection Agency Mold  
<https://www.epa.gov/mold>
- Asbestos  
<https://www.epa.gov/asbestos/learn-about-asbestos#asbestos>
- Information for Owners and Building Managers regarding Asbestos:  
<https://www.epa.gov/asbestos/information-owners-and-managers-buildings-contain-asbestos#o&m>
- National Center for Healthy Housing  
<http://nchh.org/>

### **State:**

- [Oklahoma Uniform Building Code Commission](#)
- Oklahoma Department of Labor - [Oklahoma Asbestos Control Act](#)
- [Oklahoma Construction Industries Board](#)



## Req. 307A – Health and Safety – Lead Safe Work Practices

### SECTION III ADDITIONAL PROGRAM REQUIREMENTS REQUIREMENT 307 A HEALTH AND SAFETY – LEAD SAFE WORK PRACTICES EFFECTIVE September 1, 2018

#### I. CONTRACTUAL REQUIREMENTS

All agencies must comply with lead safe work practices as required by the Environmental Protection Agency's Lead Renovation, Repair, and Painting Program (EPA RRP) for all weatherization work done in pre-1978 constructed homes (see Requirement 307 Section 14). **Beginning September 1, 2018, Subgrantee Recipients are NO longer required to follow Montana State University's (MSU) Lead Safe Weatherization (LSW) Training Manual – but must still comply with the EPA RRP requirements<sup>34</sup>.** DOE funds can still be used to receive training on MSU LSW requirements if an agency chooses.

#### II. PROCEDURES

A. Criteria for determining when LSW should be performed by local weatherization agencies:

1. The dwelling was constructed pre-1978; and
2. The dwelling has not been determined to be LBP free; and
3. Either the amount of surface painted with LBP exceeds two square feet per room of interior surface, twenty square feet of exterior surface, or 10% of a small component type, e.g., window, or the amount of LBP dust that will be generated by the weatherization work exceeds the OSHA-defined airborne levels for lead.

*Refer to attached DOE Program Notice 01-10, Sections 3 and 4.*

B. Training:

1. Local agencies are responsible for the provision of training using the MSU Training and Reference Manual. New staff are required to have DOE LSW training (8 hours) within 6-12 months of hire. DOE LSW refresher courses are required every five years from the date of training.
2. Local agencies must document training dates, modules covered, and a list of the staff trained in MSU LSW. This list should be kept on file at the agency and updated as necessary. This information must be available for ODOC review upon request.
3. Crews must be trained on a minimum of modules 1-4, managers on modules 1-4 and module 5.

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<sup>34</sup> See Requirement 307, Section 14 – Lead Based Paint

*Refer to attached DOE Program Notice 01-10, Section 8.*

- C. Medical Surveillance: Crew members must receive blood level testing as required by OSHA standards. It is recommended that blood testing be done on each crewmember prior to the implementation of LSW.
1. The employer shall assure that all medical examinations and procedures are performed by or under the supervision of a license physician.
  2. Blood lead levels shall not exceed 40 ug/dl.
  3. The cost of blood level testing is an allowable DOE Health & Safety expense.
  4. Refer to MSU Training Manual, Appendix E, OSHA regulation standards, for further guidance.
- D. Testing: Local agencies may expend DOE funds for testing under the following consideration. The following guidance is offered as a guide to determining whether testing is worth the time and money ***on a case-by-case basis***:
1. Houses built from 1978 on may be assumed free of LBP without testing;
  2. In houses built prior to 1940, it is logical to assume the presence of LBP and save the cost of testing;
  3. In homes built between 1940 and 1978, testing may not be warranted if the amount of paint to be disturbed is small, since it may be cheaper to perform LSW for a small area than to incur the expense of testing. However, where the amount of paint to be disturbed is greater than 2 square feet (interior) and twenty square feet (exterior), it may be worth the cost of testing, since a negative result would mean that the crews could dispense with having to perform the MSU LSW protocols;
  4. Routine testing is not an allowable DOE expense.

*Refer to attached DOE Program Notice 01-10, Section 4.*

- E. Liability Issues: Local agencies are required to check their liability insurance to ensure there are no exclusion clauses for doing weatherization in a home with lead paint when the energy efficiency measure requires the disturbance of painted surfaces.
1. DOE strongly advises agencies to either refer or defer weatherization work that will disturb surfaces that may contain LBP until they have insurance that will provide coverage for LSW work in situations involving LBP.
  2. The cost of such insurance is an allowable DOE expense and ODOC urges agencies

to seek ways to obtain the coverage at reasonable rates.

3. DOE is involved with EPA and HUD in continuing discussions with the insurance industry about ways to qualify weatherization agencies for more favorable rates.
4. For additional coverage, local agencies are encouraged, not mandated, to take before and after pictures of the home to document the presence of paint chips prior to weatherization work. At the end of weatherization work, the area where energy efficient measures have been added should be photographed to document that the area was cleaned after weatherization.

*Refer to attached DOE Program Notice 01-10, Section 7.*

- F. Materials and Equipment: Local agencies are required to provide OSHA-specified safety equipment to their weatherization staff. The purchase of material and equipment is an allowable DOE expense. This includes, but is not limited to the following:

1. Latex gloves (non-allergenic gloves are allowable);
2. Eye wear;
3. Shoe covers;
4. Hat covers;
5. Coveralls (non-disposables must be laundered by a commercial launderer between **each** job). Subgrantees using a commercial laundry facility must disclose the possible nature of the contaminant on the clothing;
6. HEPA Vacs;
7. Respirators (fitted):
  - a. When work creates dust or chips and lead paint is presumed or known to exist, wear at least a NIOSH-approved half-face respirator with HEPA filters;
  - b. All crew members must be fit tested for a respirator;
  - c. The cost of fit testing is an allowable DOE expense under Health & Safety;
  - d. Medical surveillance must be completed for each crewmember being fitted for a respirator. The cost of the medical test for this purpose is an allowable DOE expense under Health & Safety;
  - e. See Module 5 of the MSU Training and Reference Manual for further requirements pertaining to respirator usage.

For specific material and equipment details, see Module 4 of the MSU Training and Reference Manual.

- G. Client File: The client file must contain:

1. Signed copy of "Confirmation of Receipt of Lead Pamphlet," client approval to proceed with work;
2. Documentation of any LSW procedures used in the client's home; including but not limited to:
  - a. Fully documenting all lead safe testing and possible procedures in the initial assessment of the unit, Weatherization Dwelling H&S Checklist **[Form 25]**.
  - b. Fully notifying client of potential lead safe hazards prior to and after weatherization work documented in client file, Client Health and Safety Checklist **[Form 25]**.
  - c. Documenting all lead safe training for new or uncertified RRP employees, Forms 40 & 41 as applicable.
  - d. Documenting Lead Safe testing, with clear indication of the test, and the results, Form 42- Test Kit Documentation
  - e. Documenting Lead Safe work, with clear indication of the process and the unit, Form 43 – Renovation Recordkeeping Checklist.
3. Completed "Cleanup" checklist. **[See Attachment 12]**
4. Before and after photographs. H.

Deferrals:

1. The mere presence of LBP will not be considered a justifiable reason for a "deferral" or "walk away."
  2. Follow steps outlined in PN 01-10, Section 5 to determine if a deferral is justified.
  3. Deferrals must be accompanied by proper documentation giving just cause for deferral of work to the home, Deferral of Service **[Form 33]**. Documentation must be maintained in the client file and available for ODOC review upon request. Proper documentation may include:
    - a. Documented notification of training, within 2 months of contract start date or, in the case of new hires, within 2 months of employment start date;
    - b. Copy of insurance policy documented with date of when insurance coverage for LBP will be obtained, and must be within 3 months of FY '02 contract start date;
    - c. Copy of NEAT audit identifying the measures to be completed, accompanied by a description of how the performance of these measures would disturb LBP in excess of 2 sq. ft. (interior) and 20 sq. ft. (exterior).
- I. Substance Data Sheet for Occupational Exposure to Lead:
1. The "Substance Data Sheet for Occupational Exposure to Lead" should be distributed

to every employee who could be exposed to lead while on the job. A copy should also be at each job site where lead exposure could occur.

2. OSHA requires extensive record keeping for employees at risk for lead exposure. As part of this record keeping, it is recommended that each employee receiving a "Substance Data Sheet" be required to sign some sort of a verification of receipt and understanding form. This should be kept on file with the employees' other health and safety records.

#### **IV. ATTACHMENTS**

1. Other Federal Government Regulation pertaining to lead based paints (Attachment 10 B)
2. Final Cleanup Interior and Exterior Checklist (Attachment 12)

## Req. 308 – Electric Base Load

### SECTION III ADDITIONAL PROGRAM REQUIREMENTS REQUIREMENT NO. 308 ELECTRIC BASE LOAD EFFECTIVE September 1, 2018

#### I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall establish procedures to comply with the requirements of 10 CFR 440.21, [http://www.ecfr.gov/cgi-bin/text idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl) Standards and Techniques for Weatherization, to address the energy efficiency and energy usage of refrigerators and electric water heaters.

#### II. PROCEDURES

A. If you are able to locate the manufacturer and model in the look-up table provided in the National Energy Audit (NEAT) audit, the required annual consumption will be entered for you. Otherwise, refrigerator energy usage must be evaluated with a commercially available electric load profiling power-metering device. A two-hour minimum metering duration is required. Relevant information must be entered into the NEAT. (See Section 6.13, Page 63 of the NEAT Users Manual for further explanation.)

B. Subgrantee Recipients shall accomplish the following services for refrigerators not replaced:

1. Thorough cleaning of evaporator coils (licensing not required);
2. Provide adequate ventilation;
3. Test and readjust interior temperature;
4. Client education on proper refrigerator usage, including proper control settings and proper food handling

C. Size: Replacement refrigerators shall be as follows:

| Family Size | Replacement Size |
|-------------|------------------|
| 1-4 persons | 18 ft.           |
| 5-9 persons | 21 ft.           |

1. Options: Weatherization Program Notice 00-5 lists the types of refrigerators that may be installed. They are refrigerators and refrigerator-freezers with manual, automatic, or partial-automatic defrost. New replacement units may not have through-the-door ice or water service since these features increase energy use. As weatherization is an energy efficiency program, subgrantee recipient must remove old refrigerators before supplying the new refrigerator. Freezers do not have to be removed.
2. Electrical Requirements:

Electrical outlets shall

- a. Provide the voltage specified by the new refrigerator ID plate;
- b. Extension cords shall not be used;
- c. Outlet and cover plates shall be in good condition (e.g., not cracked or broken or have sparks, smoke, or burn marks, etc.).

3. Structural Requirements:

- a. Location shall meet refrigerator manufacturer's specifications for space and clearances;
- b. The floor must be level (unit made sturdy) to properly support the new refrigerator;
- c. Doors and hallways must be sufficient to allow removal of the existing refrigerator and installation of the new one without damage to the appliance or house.

4. Installation: Subgrantee Recipients shall:

- a. Deliver and install the new refrigerator;
- b. Ensure that door hinges are on the appropriate side;
- c. Instruct the customer on refrigerator operation;
- d. Deliver warranties and operating manuals to the customer;
- e. Set temperature controls appropriately.

D. ODOC has found that CFLs are only a cost-effective program measure when used more than two hours per day. Therefore, to avoid indiscriminate installations, we are requesting that all Subgrantee Recipients adhere to the policy outlined below when placing CFLs in a client's home.

1. In a room-by-room survey, ask participant which lamps are used most frequently. (Permanent fixtures do not qualify. Only screw-in lamps will be replaced.)
2. For the most frequently used lamps in each room ask approximately how many hours per day each lamp is used (use does not have to be continuous). Offer the following ranges and record responses.
  - a. Not exceeding 1/2 hour;
  - b. Between 1/2 hour up to 1 hour;
  - c. Over 1 hour but less than 2 hours;
  - d. 2 hours+;
  - e. Not sure.
3. Only after the entire survey is complete should Subgrantee Recipients install CFLs in lamps used 2 hours or more per day. This procedure will avoid, or at least lessen, the possibility of "tipping off" clients to the minimum usagenecessary to qualify for a CFL. A "not sure" response would disqualify the lamp from receiving a CFL.

4. Install CFL with rated lumens comparable to those being removed.
5. If an outdoor lamp is left on overnight for safety/security purposes, install a CFL suitable for outdoor usage if compatible with existing screw-in fixtures. Do not replace spot/flood lights with a CFL!
6. Document in client files the location and wattages installed/replaced.

**III. FORMS**

None.

**IV. ATTACHMENTS**

None.



## Req. 308A –Historic Preservation

### WEATHERIZATION PROGRAM REQUIREMENTS REQUIREMENT NO. 308A HISTORIC PRESERVATION EFFECTIVE September 1, 2018

#### I. CONTRACTUAL REQUIREMENTS

- A. Subgrantee Recipients shall follow the Programmatic Agreement Among The United States Department of Energy, the Oklahoma Department of Commerce, and The Oklahoma State Historic Preservation Office Regarding the EECBG, SEP and WAP Undertakings, effective March 13, 2013 – December 31, 2020.
- B. Subgrantee Recipients shall track required data metrics on all homes weatherized aged 45 years or older. This data shall be submitted to ODOC in OKGrants as outlined in [Section III, 8.](#)

#### II. TERMS AND DEFINITIONS

|                    |  |
|--------------------|--|
| <b>In-Kind</b>     | In kind means either the same or similar material, and the result must match all physical and visual aspects, including form, color, texture, finish, dimension, pattern, and workmanship.   |
| <b>Section 106</b> | Section 106 of the National Historic Preservation Act requires federal agencies to consider the effects of their undertakings on properties listed in or eligible for the National Register of Historic Places. This consideration must take place, <b><i>prior to the approval of the expenditure of any federal funds on the undertaking or prior to the issuance of any license</i></b> <sup>35</sup> . |
| <b>Undertaking</b> | A Federal undertaking is a project, activity, or program either funded, permitted, licensed, or approved by a Federal Agency. Each home weatherized by a Subgrantee Recipient is a Federal undertaking <sup>36</sup> .   |

#### III. PROCEDURES

- A. The US Department of Energy (DOE), the Oklahoma Department of Commerce (ODOC), and the Oklahoma State Historic Preservation Office (SHPO) have a shared obligation, commitment, and federal mandate to ensure that the historical resources of this great state are preserved and maintained. Therefore, in compliance with the National Historic Preservation Act (NHPA), DOE, ODOC, and SHPO entered into a Programmatic Agreement (PA) [**Attachment 25**]. The current PA was approved by DOE, ODOC, and SHPO on March 29, 2010 and reapproved by the Advisory Council on Historic Preservation (ACHP) on March 13, 2013 to remain in effect until December 31, 2020.
- B. The purpose of this Requirement is to provide DOE WAP and DHS LIHEAP Subgrantee Recipients with guidance for complying with the PA and to provide instructions in contacting SHPO for further Section 106 review.

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<sup>35</sup> 36 CFR Part 800 – Protection of Historic Properties <http://www.achp.gov/regs-rev04.pdf>

<sup>36</sup> National Historic Preservation Act, Section 106 – A Quick Guide <https://www.nps.gov/history/tribes/Documents/106.pdf>

1. Subgrantee Recipients must obtain third party documentation to verify the year an assessed home was built. This verification is documented on the client application **[Form 22]**.
2. If a home is determined to be 45 years or older, an agency must initiate a Section 106 review, as explained in [Section III, 4](#), after the initial energy audit is completed, ***and before any work begins on the home***, to ensure that the PA is complied with.
3. See Appendix A and B of the PA, for lists of measures that automatically exclude a home from further Section 106 review **[Attachment 25]**.
  - a. Windows and Doors do NOT automatically exclude a home from a Section 106 review.
    - i. If an energy audit calls for original/historic windows or doors to be replaced, then the existing conditions of the windows or doors must be documented and submitted for Section 106 review prior to any work being completed on the home, unless you are able to replace with in-kind DOE WAP approved windows or doors [which is unlikely].
    - ii. If an energy audit calls for non-historic/non-original windows and doors to be replaced, and the windows or doors are less than 45 years old or fall outside the period of significance for the property and/or district, then you can replace with in-kind windows or doors that are compatible with the design of the building and/or historic district, without further Section 106 review. However, if there is any doubt, request a SHPO Section 106 Review.
4. If a measure to be installed is not listed in Appendix A or B of the PA, a request must be submitted to SHPO requesting Section 106 review. A request includes the following:
  - a. A cover letter to SHPO that contains:
    - i. Scope of work to be completed, to include complete list of weatherization measures to be installed
    - ii. Identification of local government, tribes, and the ODOC WAP Program Planner, all of whom should be copied on the request
  - b. A completed Historic Preservation Resource Identification Form (HPRIF) **[Form 37]**
  - c. Pictures of the undertaking to include any measures to be replaced that are NOT listed in Appendix A or B.
  - d. A Location Map of the home [for example, a Google Map printout]

The Cover Letter, along with Form 37, pictures and map, must be mailed to SHPO. SHPO does not accept Section 106 review requests via email. Copied parties can be email or mailed as appropriate.

5. SHPO, local governments, and tribes have 30 calendar days from the receipt of adequate documentation to respond to Section 106 requests. No work shall be completed on the home until a response from all parties is received. If the 30 day comment period expires and no response is received from SHPO, local governments, tribes, or any other consulting party, work can resume on the home after 30 days has passed.

6. In order to avoid management plan delays, it is recommended that a Subgrantee Recipient conduct as many assessments as possible on 45+ homes and submit multiple requests to SHPO at a time, prior to or in the first month of the program period.
7. If SHPO determines that the weatherization work might result in adverse effects, additional guidance will be provided in SHPO's response.
8. Subgrantee Recipients are required to submit OKGrants reports regarding units assessed that are 45 years or older. If a home is weatherized with both DOE and DHS funds, the home should be reported in the DOE contract only. These reports collect the following data metrics for the specified reporting periods:
  - a. Total number of homes weatherized.
  - b. Number of homes weatherized older than 45 years submitted for SHPO Section 106 review
  - c. Number of homes SHPO required a Section 106 review on
  - d. List of all measures installed not listed in Appendix A or B, that triggered the SHPO Section 106 review
  - e. Number of homes weatherized older than 45 years, but were exempt from SHPO review because all installed measures were listed in Appendix A or B of the SHPO PA
  - f. Total number of homes weatherized older than 45 years.

The SHPO OKGrants reports must be submitted for the following reporting periods by the following due dates:

| DOE Reporting Period | Report Due Date |
|----------------------|-----------------|
| April – August       | September 20    |
| September – March    | May 30          |

| DHS Reporting Period | Report Due Date |
|----------------------|-----------------|
| October – September  | November 31     |

## VI. FORMS

### Form 22

WX Client Application

### Form 37

Historic Preservation Resource Identification Form

## V. ATTACHMENTS

### Attachment 25

SHPO Programmatic Agreement

### Attachment 26

SHPO ACHP 30 Day Review

## VI. RESOURCES

- Oklahoma State Historic Preservation Office Forms - <http://www.okhistory.org/shpo/shpofrms.htm>
- Oklahoma State Historic Preservation Office Fact Sheets - <http://www.okhistory.org/shpo/factsheets.htm>
- Secretary of the Interior's Standards for the Treatment of Historic Properties
  - Preservation: <https://www.nps.gov/tps/standards/four-treatments/treatment->

[preservation.htm](#)

- Rehabilitation: <https://www.nps.gov/tps/standards/four-treatments/treatment-rehabilitation.htm>
- Restoration: <https://www.nps.gov/tps/standards/four-treatments/treatment-restoration.htm>
- Reconstruction: <https://www.nps.gov/tps/standards/four-treatments/treatment-reconstruction.htm>

## Req. 309 – NEAT and MHEA Procedures

**SECTION III**  
**ADDITIONAL PROGRAM REQUIREMENTS**  
**REQUIREMENT NO. 309**  
**WEATHERIZATION NATIONAL ENERGY AUDIT TOOL (NEAT)**  
**AND MANUFACTURED HOME ENERGY AUDIT (MHEA) PROCEDURES**  
**EFFECTIVE April 1, 2015**

### **I. CONTRACTUAL REQUIREMENT**

Subgrantee Recipients shall establish procedures to comply with the requirements of 10 CFR 440.21 Weatherization Materials Standards and Energy Audit Procedures [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl). The most recently approved release of the NEAT/MHEA audit software shall be used to assign priorities among individual weatherization materials in descending order of their cost effectiveness (2012 Version 8.9.0.5). Only weatherization materials that are listed and which meet or exceed standards prescribed in 10 CFR 440 Appendix A may be purchased with weatherization funds, except for materials to eliminate health and safety hazards allowable under ODOC Requirement 307 Health and Safety.

### **II. PROCEDURES**

- A. To identify each subgrantee recipient's information, specific agency identifiers must be input into the "Agency Information" dialog box.
- B. In order for the audits to reflect accurate local area conditions, the following parameter sets must be established at the beginning of each DOE WAP Program Year (see the NEAT User's Manual for specific instructions): Materials & Labor Costs, Fuel Costs, Candidate Conservation Measures, User Defined Insulation Types, Replacement Refrigerators, and Replacement Water Heaters. ODOC will conduct an annual comparison of all Subgrantee Recipients to ensure updates are accurate and current. Utilizing the comment box for each entry will help ODOC clearly identify the effort to update the Library.
  - 1. Material, Labor, and fuel costs shall be updated annually, at the beginning of each DOE program year in order to correspond with each contract period. Short term high or low values should be avoided.
  - 2. The measures listed below must be turned off in the Setup Library, unless the following occurs:
    - a. A turned off measure is preexisting in the unit, and therefore must be turned back on, in which case the material and labor costs must be updated for the measure (notify ODOC prior to adjustment).
    - a. Subgrantee Recipients must obtain a waiver from ODOC to re-enable a turned off measure due to extenuating circumstances (notify ODOC prior to adjustment).

c. Turned off measures - NEAT:

- i. White Coat Roofing
- ii. Window Sealing (part of air infiltration scope of work)
- iii. Window Replacement (specify low-e windows as they are more readily available)
- iv. Window Shading (awning)
- v. Sun Screen Fabric or Sun Screen Louvered
- vi. Window Film
- vii. Thermal Vent Damper
- viii. Electric Vent Damper
- ix. Electric Vent Damper IID
- x. Flame Retention Burner
- xi. High Efficiency Boiler (unless pre-existing)
- xii. Evaporative Cooler (unless pre-existing)

d. Turned off measures - MHEA:

- i. Window Sealing (unless pre-existing)
- ii. Plastic Storms (unless pre-existing)
- iii. Awnings
- iv. Shade Screen
- v. Evaporative Cooling (unless pre-existing)

C. Weatherization measures are eligible if a Savings to Investment Ratio (SIR) of 1.0 or above is achieved per energy savings measure. In addition, the cumulative SIR must be at or above 1.0 for the entire unit. The cost of incidental repairs must be included in the cost of the package of measures installed in the dwelling. The cost of incidental repairs cannot exceed \$750 per unit. Recommended measures shall be installed in order of decreasing SIR until the maximum allowable average cost per unit is achieved {Reference Requirement 302}.

- The ACPU can be an average throughout the contract period, but Subgrantee Recipients should watch their ACPU closely to avoid potential disallowed expenditures above the ACPU determined as allowable by DOE for the program year.

D. Subgrantee Recipients may use general heat waste (GHW) reduction weatherization materials that have been determined to be generally cost-effective without the need for a site-specific energy audit. The approved, presumptively cost-effective materials include: water heater wrap (i.e., insulating blanket); water heater pipe insulation (on six feet of hot water pipe exiting water heater); faucet aerators; low-flow showerheads; limited weather-stripping and caulking to increase comfort (does not include major air sealing work, which should be guided by blower door testing;) and furnace or air conditioner filters.

- E. The dwelling unit should be treated as a whole system, including an examination of the heating and cooling system, air exchange system, and the occupants' living habits and needs. Necessary adjustments to the priority of weatherization materials may be accomplished with adequate client file documentation.
- F. By not checking the Include in SIR Checkbox, the subgrantee recipient is saying any measures will be paid for using H&S funds or another non-WAP funding source.
- G. Window assessment:
1. For Window Replacement **Evaluate All** should be selected on the Window Retrofit Options Field. When **Evaluate All** is selected NEAT will look at all turned on window retrofit options (Replace with Low-E and Storm). In turn:
    - a. NEAT will calculate the SIR of each, and will not recommend any options with  $SIR < 1.0$ .
    - b. If only one measure has an  $SIR \geq 1.0$  then NEAT will recommend it.
    - c. If two or more of the measures have a  $SIR \geq 1.0$  then NEAT will calculate the Net Present Value (NPV) of each (discounted savings minus cost, whereas SIR is discounted savings divided by cost) and recommend the measure with the highest NPV.
    - d. If at any time SIR drops below 1.0 for any treatment option, the measure is then dropped and not recommended.
  2. Since NEAT compares efficiency and costs two ways (Net Present Value and Saving to Investment Ratio) there is another option after auditors have exhausted **Evaluate All** (must be used first and placed in client file):
    - a. If after using **Evaluate All**, the agency is unsatisfied with the recommended window replacement option (on the specified window(s) to be replaced), the agency can try a different window replacement option if there appears to be a better fit for the situation (weatherization housing stock varies so there are circumstances which could affect the windows treatment needed).
    - b. The agency should choose a specific window treatment in the Window Retrofit Field Option and check **Include in SIR** to assess the SIR value of the specified window treatment (The window specified must be included on the original audit when using Evaluate All).
    - c. The replacement will show up in the recommended measure column, so the agency must check to verify the SIR in the Energy Savings Measure Economics column is a  $SIR \geq 1.0$ .
    - d. If the window treatment selected does not have a  $SIR \geq 1.0$  then the auditor must try a different option, or choose the option with the  $SIR \geq 1.0$  in the original **Evaluate All** assessment.
  3. When selecting window replacement **Evaluate All**, subgrantee recipients must also check the **Include SIR Checkbox**. The agency must ensure the cost estimated by NEAT for the various window retrofit options (based on the values entered in the Setup Library) are correct; otherwise SIR calculations will be inaccurate.

- a. Per 11-6 windows and doors are not allowable under H&S, so by not selecting the Include in SIR box it appears Subgrantee Recipients are using disallowable DOE WAP funds, and could result in a finding when monitored by ODOC or DOE, and could potentially result in repayment.
4. Labor and materials should be input in NEAT, because SIR calculation is based on labor plus materials.
5. The Weatherize (air sealing) window retrofit option should be considered part of the agency's air infiltration reduction scope of work (see #6 below), and not as an optional window replacement (turned off measure). All agencies should be sealing windows that are not replaced (even if the blower door has been achieved). Dependent on the housing stock many homes have drafty windows that do not need replacing, and this type of inexpensive measure can help the client significantly during the summer and winter, so it should be considered a best practice.
6. Doors and Windows may be installed under general air infiltration, as long as the measure SIR for air infiltration is at or above 1.5, and the cumulative SIR for the unit is at or above 1.0. If doors or windows are installed under air infiltration, photo documentation, as well as justification of the replacement, must be submitted to ODOC liaison prior to the installation, and documented in the client file.

**\*ODOC selected SIR 1.5 for air infiltration in order to better ensure the measure achieves SIR since air infiltration is based on an estimated final blower door reading, and not an exact number. In fact, if the air infiltration measure SIR is above 1.5-1.75 the Subgrantee Recipient should attempt to add more air infiltration work to achieve as close to SIR 1.5 as possible.**

- H. Effectiveness of Weatherization Installations and Energy Savings:
1. ODOC will compile the energy savings of each Subgrantee at the end of the program year to determine if energy savings, and the effectiveness of weatherization installations, was consistent throughout the network.
  2. By comparing Subgrantee total energy savings, ODOC will be able to determine if agencies are meeting the estimated energy savings, per the averaged goal of the State Plan.
  3. This data will help ODOC Program Representatives in their upcoming monitoring's by pinpointing the agencies that seem to underperform in their energy savings annually, and identify possible oversights in weatherization installations.

### III. RESOURCES

National Energy Audit Tool and Manufactured Home Energy Audit User's Manual

(<http://www.waptac.org/Weatherization-Assistant/Weatherization-Assistant-Manuals.aspx>)



## Req. 310 – Deferrals

### WEATHERIZATION PROGRAM REQUIREMENTS REQUIREMENT NO. 310 DEFERRALS EFFECTIVE April 1, 2018

#### I. CONTRACTUAL REQUIREMENTS

- A. Subgrantee Recipients shall establish procedures to ensure clients meet eligibility requirements and that units are a reasonable candidate for weatherization, as per the requirements of [10 CFR 440.22](#)<sup>37</sup>, and ODOC's Contractor Implementation Manual.

#### II. TERMS AND DEFINITIONS:

|                   |  |
|-------------------|--|
| <b>Deferral</b>   | A client that meets eligibility requirements (for example, income), but the unit occupied by the client is not a reasonable candidate for weatherization. This is a distinction from ineligible applicants who must be denied. |
| <b>Denial</b>     | A client or unit that does not meet eligibility requirements.  |
| <b>Eligible</b>   | A client and unit are eligible for weatherization services if they meet the criteria outlined in Requirement 301. Both the client and unit must be eligible to receive weatherization services.                                |
| <b>Ineligible</b> | A client who does not meet eligibility requirements (for example, over the income requirements) or a unit that does not meet current eligibility requirements (for example, the home has already been weatherized)             |

#### III. PROCEDURES

Deferring work on a home is a difficult, but sometimes a necessary decision. This does not mean that assistance will never be provided, but that work must be postponed until the problems can be resolved by the applicant or client and/or alternative sources of help are found. Subgrantee Recipients, which includes crews and contractors, are expected to pursue options on behalf of the applicant or client, including referrals, and to use reasonable judgment in dealing with difficult situations. Subgrantee Recipients should review Requirement 307 and resolve any allowable Health and Safety issues that are identified in a client home, provided they are within their budget. A list of possible program referrals is provided under *V. References*.

**This deferral policy provides general requirements and situations for deferral and most situations can be guided by this policy. However, it is possible that unique conditions will arise that are not specifically outlined here. Subgrantee Recipients should contact their ODOC liaison for assistance, before deferral, as appropriate.**

#### 1. CATEGORIES OF DEFERRAL/DENIAL

- A. In general, three situations require a denial or deferral. All three situations require that the applicant or client be notified in writing using the Weatherization Denial Letter **[Form 24]** or Deferral Form **[Form 33]**

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<sup>37</sup> [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl)

- a. An applicant or unit determined to be ineligible for the program must be denied. For example, an applicant may be over income.
- b. An initial assessment may indicate the need for an applicant or client to remedy a health and safety issue. These applicants or clients should be deferred until documentation can be provided to the Subgrantee Recipient that the situation identified has been remedied.
- b. If during the course of weatherization work, a previously unidentified health and safety issue is now identified, Requirement 307 must be adhered to. In some cases, this might mean that weatherization work must cease until the client can resolve the issue by providing documentation to the Subgrantee Recipient of the resolution.

## 2. DATA TRACKING

- A. The Subgrantee Recipient is required to track the following data on both denials and deferrals for DHS in OKGrants.
  - i. Applicants that did not meet income eligibility requirements.
  - ii. Applicants or clients whose homes are not safe to weatherize, and corrections to make the home safe were outside the scope of Requirement 307.
  - iii. Applicants or clients whose homes need repair work beyond the scope of the program.
  - iv. Applicants or clients whose homes needed more health and safety work done than the Subgrantee budget allowed.
  - v. Any other reason a home is deferred or an applicant was found to be ineligible.
- B. The Subgrantee Recipient is required to track data on both denials and deferrals for DOE **[OKgrants Quarterly Progress Report]**. The deferral form **[Form 33]** can be used to gather this data.

## 3. DEFERRAL REASONS

- A. The following is a list of reasons why a home may/must be deferred. Please note this is not an exhaustive list. Subgrantee Recipients should contact their ODOC liaison for any questions or concerns before deferring a home.
  - a. The client has known health conditions that prohibit the installation of insulation and other weatherization materials because the health conditions might be exacerbated by starting or continuing weatherization work.
  - b. The building structure or its mechanical systems, including electrical and plumbing are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
  - c. The building structure has deteriorated to such an extent that prevent diagnostics or weatherization measures to be completed.
  - d. The house has biological and unsanitary conditions such as sewage, odors, rotting wood, and/or feces that would further endanger the client and weatherization installers if weatherization work were performed.
  - e. Infestation of pests that cannot be reasonably resolved per Requirement 307.
  - f. The house has been condemned or electrical, heating, plumbing, or other equipment has been “red tagged” by local or state building officials or utilities.
  - g. Moisture problems are so severe they cannot be resolved under existing health and safety

measures and with minor repairs.

- h. Dangerous conditions, such as high carbon monoxide levels in combustion appliances, improperly stored chemicals, or other fire hazards that cannot be resolved under existing health and safety measures.
- i. The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
- j. Unsecured or aggressive pets that prevent workers from safely completing their work.
- k. The extent and condition of lead-based paint, or suspected friable asbestos, in the house would potentially create further health and safety hazards.
- l. Any condition exists which may endanger the health and/or safety of the work crew or subcontractor, the work should not proceed until the condition is corrected.
- m. The correction of a health and safety issue is not an allowable or reasonable ODOC/DOE WAP expenditure, as outlined in Requirement 307.
- n. The client refuses to have certain measures installed or removed as per DOE guidance. For example, if a client refuses to have an unvented space heater removed or refuses to have mechanical ventilation installed.
- o. Major remodeling is in progress that prevents the completion of required weatherization measures.
- p. The presence of illegal or the use of any controlled substance in the home during the weatherization process.

### III. FORMS

|                 |                           |
|-----------------|---------------------------|
| <b>Form 24</b>  | Denial Letter             |
| <b>Form 33</b>  | Deferral Form             |
| <b>OKgrants</b> | DOE Quarterly Report Form |

### IV. RESOURCES

- Habitat for Humanity Home Preservation: <https://www.habitat.org/volunteer/near-you/home-preservation>
- HUD Home funds: [https://portal.hud.gov/hudportal/documents/huddoc?id=20653\\_ch04.pdf](https://portal.hud.gov/hudportal/documents/huddoc?id=20653_ch04.pdf)
- USDA Home Repair program: <https://www.rd.usda.gov/programs-services/single-family-housing-repair-loans-grants>
- HUD Home Rehabilitation and Repair program: [https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/sfixhs](https://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/sfixhs)

## Req. 311 – Training

### WEATHERIZATION PROGRAM REQUIREMENTS REQUIREMENT NO. 311 TRAINING EFFECTIVE May 15, 2020

#### I. CONTRACTUAL REQUIREMENTS

- A. Subgrantee Recipients must ensure that staff and contractors are trained to meet the Department of Energy's Quality Work Plan requirements as outlined in [WPN 15-4](#), and within this Requirement.
- B. Upon notification of meetings or training sessions scheduled by ODOC, the Subgrantee Recipient shall ensure the attendance of any person performing services under this contract whose presence is requested.

#### II. TERMS AND DEFINITIONS

|                               |  |
|-------------------------------|--|
| <b>Comprehensive Training</b> | Formerly known as Tier 1 training, comprehensive training refers to any comprehensive, occupation – specific training that follows a curriculum aligned with the JTA for that occupation. Comprehensive training must be administered by, or in cooperation with, a training program that is accredited by a DOE-approved accreditation organization for the JTA being taught <sup>38</sup> . The Oklahoma Association of Community Action Agencies is an IREC accredited training center. <i>There are four WAP occupations for which Comprehensive Training is offered: Crew Leader, Retrofit Installer, Quality Control Inspector, and Energy Auditor.</i>                                  |
| <b>Crew Leader</b>            | A crew leader is a residential energy efficiency professional who, at any point, is responsible for supervising the retrofitting activities specified in the scope of work of a job. He or she is responsible for interacting with the client plus managing personnel and materials the job site in a safe and effective manner. The crew leader is responsible for quality control, testing procedures, documentation, and conducting a final walk through to ensure that all work is completed in a satisfactory manner. Crew Leaders must possess the knowledge, skills and abilities listed in the National Renewable Energy Laboratory Job Task Analysis for Crew Leaders <sup>39</sup> . |
| <b>Energy Auditor</b>         | The Energy Auditor (EA) is an experienced professional who evaluates the health and safety, durability, comfort, and energy use of a residential building. The Energy Auditor conducts advanced diagnostic tests, gathers and analyzes data, and creates models to draw conclusions and make recommendations to the client for improvements. EAs must possess the knowledge, skills and abilities listed in the National Renewable Energy Laboratory Job Task Analysis for EAs <sup>40</sup> .   |

#### Interstate Renewable Energy

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<sup>38</sup> [WAP Memorandum 034](#) – Clarification on WPN 15-4 Tier 1 and Tier 2 Training

<sup>39</sup> [Kurnik, C. & Gasperson, S. "Weatherization Crew Leader Job Task Analysis". National Energy Resource Laboratory, June 2019](#)

<sup>40</sup> Head, H. & Kurnik, C. ["National Renewable Energy Laboratory, NREL Job Task Analysis: Energy Auditor."](#) (May 2018)

|                                  |   |
|----------------------------------|---|
| <b>Council</b>                   | IREC provides third party accountability and accreditation to WAP Training Centers to ensure quality and consistency of WAP Council occupation training.  |
| <b>Job Task Analysis (JTAs)</b>  | JTAs are the knowledge, skills and abilities that a WAP practitioner and home energy professional needs in order to perform a given job effectively and safely. DOE has provided four job occupations for the WAP program: Crew Leader, Retrofit Installer, Quality Control Inspector, and Energy Auditor. A complete list of the JTAs for each of these four positions can be found on DOE's <a href="#">website</a> . JTAs are used by training providers to develop coursework that can be verified and accredited by a third party organization to ensure a higher level of consistency and quality. The Interstate Renewable Energy Council (IREC), provides this third party accountability.          |
| <b>New Hire</b>                  | A new hire is an agency employee that started with the agency's weatherization department either for the first time, or returned to work for the agency after a period of two years (previous employed by agency). Staff (except for new program managers) that are promoted or change positions within the weatherization program are not considered new hires. Follow continuing education requirements for that individual's new WAP occupation. New Program Managers are always considered a new hire for the purposes of training.   |
| <b>Program Manager</b>           | A program manager is responsible for managing, at a minimum, the daily administrative and operational aspects of their agency's Weatherization Program. This includes overseeing the management plan, budget, and adherence to ODOC programmatic requirements. Every agency that has a DOE WAP and DHS LIHEAP contract must have a designated Program Manager. Some agencies may use weatherization director or some other job title. ODOC has chosen to use DOE's terminology of Program Manager.  |
| <b>Quality Control Inspector</b> | A Building Performance Institute (BPI) certified Quality Control Inspector is a residential energy efficiency professional who ensures the completion, appropriateness, and quality of energy upgrade work by conducting a methodological audit/inspection of the building, performing safety and diagnostic tests, and observing the work <sup>41</sup> . QCIs must possess the knowledge, skills and abilities listed in the National Renewable Energy Laboratory Job Task Analysis for QCIs as mandated in the U.S. Department of Energy Weatherization Program Notice <a href="#">15-4</a> <sup>42</sup> . <i>[NOTE – this term is also often used interchangeably with Quality Control Inspection]</i> |
| <b>Retrofit Installer</b>        | A retrofit installer technician is a residential energy efficiency professional who installs energy efficiency upgrades in single-family homes, and small multi-family housing (2-4 units). An installer uses a variety of building science best practices to improve safety, comfort, durability, indoor air quality, and energy efficiency.   |

<sup>41</sup> Head, H. & Kurnik, C. "[Single Family Quality Control Inspector Job Task Analysis](#)." National Renewable Energy Laboratory. (May 2018)

<sup>42</sup> DOE, [Weatherization Program Notice 15-4](#) – Quality Work Plan Requirement Update. (October 21, 2014).

Retrofit Installers must possess the knowledge, skills and abilities listed in the National Renewable Energy Laboratory Job Task Analysis for Retrofit Installers<sup>43</sup>.

### Specific Training

Formerly known as Tier 2 training, specific training is single-issue, short term training to address acute deficiencies in the field<sup>44</sup>. Here is a non-exhaustive list of Specific Trainings: ASHRAE, RRP Lead Renovator, Health and Safety Specific Training, Building Envelope, Pressure Diagnostics, Insulation, CAZ, OSHA, NEAT/MHEA Training, Conference Trainings.

### WAP Occupations

There are four primary DOE WAP occupations or classifications that have JTAs developed by the National Resource Energy Laboratory: Crew Leader, Retrofit Installer, Quality Control Inspector, and Energy Auditor.

## III. PURPOSE

- A. ODOC has an obligation and federal mandate to ensure that all weatherization work meets DOE quality standards. DHS LIHEAP weatherization audit and work standards are the same as DOE. This includes, but is not limited to the following:
  - Ensuring that the scope of weatherization work is determined in compliance with DOE/ODOC approved energy audit policies and procedures;
  - Ensuring all weatherization work is completed and installed according to DOE/ODOC policies and the National Resource Energy Laboratory's Standard Work Specifications;
  - Ensuring strong financial management and the cost effectiveness of all weatherization work completed with ODOC weatherization contract funds (both DOE and DHS LIHEAP).
- B. ODOC provides funding and support for training and technical assistance activities to ensure that all weatherization work meets the high quality standards as listed above. All training and technical assistance activities are intended to maintain or increase the efficiency, quality, and effectiveness of the WAP at all levels, including at State level. All weatherization workers that complete weatherization job tasks are required to have the knowledge, skills, and abilities to perform those tasks.

## IV. PROCEDURES

- A. Every Subgrantee Recipient must have at least one person that performs the job tasks for each of the four primary WAP technical occupations (Crew Leader, Retrofit Installer, Quality Control Inspector, and Energy Auditor), and one administrative WAP occupation of Program Manager.
  - i. **For PY2020, the four technical occupations may be subcontracted or fulfilled by someone on staff. The Program Manager must be someone on staff.** Although not currently required, every Subgrantee Recipient is encouraged to have a BPI Energy Auditor on staff (not contracted). ODOC will make this a requirement in future contract years.
  - ii. A person who engages or completes WAP occupation job tasks (as defined in Section II above), must receive comprehensive and specific trainings for that WAP occupation according to the new hire dates and continuing education requirements below. **If a single person completes job tasks in more than one WAP occupation, he or she must be trained in EACH WAP occupation.**

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<sup>43</sup> Knowledge, skills, and abilities for a retrofit installer are contained in the Crew Leader JTA, "Domain 3: Implement Scope of Work. Kurnik, C. & Gasperson, S. "Weatherization Crew Leader Job Task Analysis". National Energy Resource Laboratory, June 2019

<sup>44</sup> [WAP Memorandum 034](#) – Clarification on WPN 15-4 Tier 1 and Tier 2 Training

- iii. For any of the four WAP occupations listed above, if weatherization staff or contractors have not been properly trained as per this requirement (including continuing education requirements), and there is no one on staff or contracted who is properly trained to supervise the employee(s) or contractor(s), the Subgrantee Recipient **must cease production immediately** and contact ODOC for guidance. Failure to do so may result in homes being determined as unallowable. The Subgrantee Recipient may be placed on a probationary period and be asked to submit a quality improvement or corrective action plan.
- B. Subgrantee Recipients are awarded a certain amount of T/TA funds to use each ~~Plan~~ Program Year. ODOC determines each Subgrantee Recipient's final T/TA award by the information submitted in the Training Plan that is annually required with the submission of all DOE applications.
  - i. A final training report, to reflect what training was received and when, must be submitted with contract closeout.
  - ii. Agencies must retain documentation and justification for T/TA expenses with their files. Conference agendas or other T/TA documentation could be requested by ODOC to ensure that trainings were applicable to WAP.
  - iii. Although a Subgrantee Recipient is required to budget the full amount of T/TA awarded initially, in the third quarter of a given contract period, if a Subgrantee Recipient believes they will not be able to spend all their T/TA training funds, they may request a budget revision through their ODOC liaison.
- C. The following costs are considered allowable with **DOE WAP** training and technical assistance funds:
  - i. Required trainings as outlined in this Requirement.
  - ii. Weatherization conferences in and out of state (to include registration, lodging, and per diem)
  - iii. OKACAA conference sessions that provide benefit to the weatherization program (e.g. ROMA)
  - iv. Testing for BPI Certifications
  - v. Providing information concerning conservation practices to occupants of eligible dwelling units (client education).
  - vi. Evaluation of Program outcomes (for example, ROMA training)
  - vii. Participation, travel, logistics of training activities and events
  - viii. Costs associated with training contractors that work within the weatherization program may also be charged to T&TA. However, an ODOC approved retention agreement with the contractor must be obtained in exchange for the training. The retention agreement must require that the contractor will work in the Program for at least one year or longer, although ODOC may require that additional years be added depending on the proposed training to be provided with DOE WAP funds.
    - a) Retention agreement must include a clause that allows for early agreement termination if the contractor fails to perform according to required standards.
  - ix. In the event that T&TA funds are limited, the cost of training may be charged to T&TA and the employee's time for participation in the training event may be charged to labor under program operations.
- D. **DHS LIHEAP** only allowable training and technical assistance costs can be found in Requirement 302A.



- E. Most training needs can be met through classes provided by Oklahoma's IREC accredited Weatherization Training Center operated by the Oklahoma Association of Community Action Agencies (OKACAA) – 605 Centennial Boulevard Edmond, OK 73103, 405-949-1495. Subgrantee Recipients should always seek to use our local resources first, but in the rare event a needed training is not available, Subgrantee Recipients can look at training courses offered by other [Weatherization Training Centers](#)<sup>45</sup> in the United States or reach out to their ODOC liaison for further assistance.
- F. Although not required, Subgrantee Recipients are encouraged to contact ODOC as soon as possible when there is staff or contractor turnover so that ODOC can support the Subgrantee Recipient in developing a plan and budget to ensure that quality of energy auditor or weatherization work is not compromised.
- G. Subgrantee Recipients' are required to share the final exam scores for all WAP staff for all comprehensive trainings. Specific training final exam scores must be provided upon ODOC request.
  - i. If a Subgrantee Recipient has a Weatherization staff person or contractor complete a comprehensive or specific training through OKACAA, there is no need for the Subgrantee Recipient to submit the final scores themselves. ODOC will work with OKACAA to receive notification.
  - ii. If a Subgrantee Recipient has a Weatherization staff person or contractor complete a comprehensive or specific training through another training center, final exam scores must be provided to ODOC upon request. Scores must be submitted by email to the Subgrantee Recipient's assigned ODOC liaison. Scores must be provided on third party documentation.
  - iii. Subgrantee Recipients who have Weatherization staff or contractors that do not achieve a passing score (OKACAA's passing score is 80 percent, although it may vary depending on the training center) must retake the test and make a passing score within 90 days. ODOC will not pay for additional training or testing after the third test.
  - iv. ODOC may require Subgrantee Recipients who have Weatherization staff or contractors that do not achieve a passing score on comprehensive or specific trainings to have additional monitorings or training or other requirements to ensure quality of work.
  - v. See also Section IV(A)(iii).

## 1. NEW HIRE TRAINING REQUIREMENTS

- A. New weatherization employees of Subgrantee Recipients must attend weatherization training within 6 months and 12 months from their weatherization department hire start date. **Staff may not function unsupervised until training and certification requirements are met for the job tasks they are assigned to as part of their position or role at the agency. A Subgrantee Recipient cannot allow a new and untrained employee to work on any homes at any point until training or certification (as per this requirement) is received, unless they are supervised at all times by someone who has proper training and certification for the job tasks the new employee is completing.** The person responsible for the final quality control inspection CANNOT be the person supervising the work on the home for the new and untrained employee. If there is no one on staff qualified to supervise those job tasks (for example, if the Subgrantee Recipient has experienced high levels of turnover), then

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<sup>45</sup> <http://www.waptac.org/Regional-WAP-Training-Centers.aspx>



production cannot continue until staff has been properly trained, unless the Subgrantee Recipient contracts out some of the work to qualified individuals. Production and any weatherization work completed without proper training and certification as per these requirements is NOT an allowable DOE or DHS LIHEAP expense.

**i. 6 MONTHS**

- a) EPA Renovation Repair and Renovation Program
- b) OSHA 10.2

**ii. 12 MONTHS**

- a) Comprehensive training for at least one WAP occupation through an IREC accredited program. Please note that OKACAA requires prerequisites to attend Comprehensive Training classes; contact OKACAA for more information. If a person will be completing job tasks for more than one WAP occupation, then the individual must receive more than one comprehensive training.
- b) OSHA 30 for any persons responsible for completing Crew Leader Domain III – V job tasks<sup>46</sup>.
- c) New staff have 12 months to obtain training and certification; however, they may not work unsupervised until training is received nor can they be supervised by the person responsible for the final quality control inspection of any home.

B. All new program managers, who have been hired or promoted to program manager since April 1, 2019, MUST contact ODOC through their assigned Program Representative to request a Program Manager Training Evaluation and Training Plan within 60 days of PY2020 contract execution. All new or promoted program managers after April 1, 2020 MUST contact ODOC through their assigned Program Representative to request a Program Manager Training Evaluation and Training Plan within 30 days of position start date.

- i. The Training Evaluation consists of a conference call or in person meeting between ODOC assigned staff, the Subgrantee Recipient Program Manager and OKACAA assigned staff to review the experience and training needs of the new Program Manager.
- ii. A Training Plan must be developed as a result of the Training Evaluation, signed by the new Program Manager. A Subgrantee Recipient has one (1) year (unless otherwise specified on the Training Plan) to complete the entire Training Plan. The completed and signed Training Plan must be submitted to ODOC upon completion.
- ii. A Subgrantee Recipient cannot self-determine sufficient training or experience in a specific area.
- iii. Program Managers must also attend an Intro to ROMA [Results Oriented Management Accountability] training (see Requirement 101).

C. Subgrantee Recipients who contract out some or all of their weatherization work must ensure that the contractor(s) have required certifications and receive continuing education to maintain their knowledge and skills. Subgrantee Recipients that contract with another community action agency to complete their weatherization work should also ensure that their contractor has the required trainings and that they adhere to this Requirement. See also Section IV(A).

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<sup>46</sup> [Kurnik, C. & Gasperson, S. "Weatherization Crew Leader Job Task Analysis". National Energy Resource Laboratory, June 2019](#)

## 2. CONTINUING EDUCATION REQUIREMENTS

Each WAP occupation has continuing education requirements that must be followed.

### A. Retrofit Installer

Every 3 years an individual must attend an IREC accredited **Comprehensive Retrofit Installer Training** that aligns with the Retrofit Installer JTAs.

### B. Crew Leader

Every 3 years an individual must attend an IREC accredited **Comprehensive Crew Leader Training** that aligns with the Crew Leader JTAs.

### C. Quality Control Inspector

Every 3 years an individual must obtain 30 hours of BPI qualified Continuing Education Units (CEUs) and recertify as a BPI Quality Control Inspector through an IREC accredited training center. An individual may elect to attend an IREC accredited **Comprehensive Quality Control Inspector Training** as part of their CEU credits.

### D. Energy Auditor

Every 3 years an individual must attend an IREC accredited **Comprehensive Energy Auditor Training** that aligns with the Energy Auditor JTAs.

### E. Certified Environmental Protection Agency Renovator (Renovation, Repair and Painting Program)

All certified renovators must receive a new certification every 5 years. Oklahoma is one of the few states that operates its own EPA RRP program through the Oklahoma Department of Environmental Quality. Certification as a renovator in other states does not meet Oklahoma EPA RRP requirements.

### F. NEAT/MHEA Training

Energy Auditors, Quality Control Inspectors, and anyone responsible for inputting data into the NEAT/MHEA program and interpreting the results (which must be a trained Energy Auditor), will be required to have a NEAT/MHEA refresher training every 2 years, unless otherwise requested or approved by ODOC.

- i. For PY2020, any Energy Auditor that did not score an 80% on the final exam given by CHP Energy Solutions during the February or March 2020 NEAT/MHEA training must take another CHP NEAT/MHEA training in PY2020 and retake the exam. ODOC will notify Subgrantee Recipients when that training will be available.
- ii. Any Energy Auditor that did not pass the training may not complete Energy Audits without supervision by someone who did pass the training or additional ODOC oversight and monitoring (if the agency does not have an Energy Auditor that passed).
- iii. Any Energy Auditor that does not pass the second NEAT/MHEA training final exam must cease conducting Energy Audits immediately. If the Subgrantee Recipient does not have any Energy Auditors on staff that have passed the final exam, that Subgrantee Recipient will be placed on a probationary period with special conditions, and must submit a plan to ODOC for how they will demonstrate and validate their agency's ability to complete energy audits according to ODOC NEAT/MHEA standards.
- iv. Additional guidance may be found in the DOE PY2020 Contract Part II for agencies that have Energy Auditors that did not pass the final exam.

### G. **Health and Safety Training**

Other required Health and Safety Training (including ASHRAE), is part of Comprehensive training, unless otherwise required by ODOC.

- i. See Requirement 307 Health & Safety for additional guidance on lead training
- ii. See Requirement 307 Health & Safety for additional guidance on asbestos training.
- iii. See Requirement 307 Health & Safety for additional guidance on HVAC training.

## 3. NEW HIRE AND CONTINUING EDUCATION SUMMARY TABLE FOR WAP OCCUPATIONS

| CONTINUING EDUCATION SUMMARY TABLE |                |             |   |                    |
|------------------------------------|----------------|-------------|---|--------------------|
|                                    | Energy Auditor | Crew Leader | Quality Control Inspector   | Retrofit Installer |
| Comprehensive Training             | 3 years        | 3 years     | Obtain 30 hours of BPI approved CEUs and pass BPI certification, which can include comprehensive training | 3 years            |
| EPA RRP                            | 5 years        | 5 years     | 5 years   | 5 years            |
| NEAT/MHEA                          | 2 years        | N/A         | N/A   | N/A                |

| NEW HIRE TRAINING SUMMARY TABLE |                |             |                           |                    |  |
|---------------------------------|----------------|-------------|---------------------------|--------------------|--|
|                                 | Energy Auditor | Crew Leader | Quality Control Inspector | Retrofit Installer | Program Manager  |
| Comprehensive Training          | 12 months      | 12 months   | 12 months                 | 12 months          | Any new program managers since April 1, 2019; New program managers within 30 days of new position or hire date |
| EPA RRP                         | 6 months       | 6 months    | 6 months                  | 6 months           |  |
| OSHA 10                         | 6 months       | 6 months    | 6 months                  | 6 months           |  |
| OSHA 30                         | N/A            | 12 months   | N/A                       | N/A                |  |

## V. FORMS

N/A

## VI. ATTACHMENTS

N/A

## VII. RESOURCES

- DOE Guidelines for Home Energy Professionals, <https://energy.gov/eere/wipo/guidelines-home-energy-professionals>
- The IREC ISO 17024 Accreditation Program for Energy Efficiency Training Programs, listing of all IREC accredited centers: <https://irecusa.org/credentialing/credential-holders/>
- The Standard Work Specifications for Home Energy Upgrades for Single Family , Manufactured

Housing, and Multifamily Homes <http://sws.nrel.gov/>

- Weatherization Program Notice 15-4, Quality Work Plan Requirements, <https://www.energy.gov/eere/wipo/downloads/wpn-15-4-quality-work-plan-requirement-update>
- Weatherization Program Notice 17-7, Health and Safety Guidance, <https://www.energy.gov/eere/wipo/downloads/wpn-17-7-weatherization-health-and-safety-guidance>

## Req. 312 – QUALITY ASSURANCE INSPECTIONS

### WEATHERIZATION PROGRAM REQUIREMENTS

#### REQUIREMENT NO. 312

#### QUALITY ASSURANCE INSPECTIONS

EFFECTIVE January 1, 2019

#### I. CONTRACTUAL REQUIREMENTS

- A. Oklahoma Department of Commerce (ODOC) will perform monitoring and evaluation activities to assess the Subgrantee Recipient's financial and programmatic compliance and progress.

#### II. TERMS AND DEFINITIONS

##### Local QC

**Inspection** A local Quality Control inspection is conducted by an employee or sub-contractor of a Subgrantee Recipient.

**QCI** A Building Performance Institute (BPI) certified Quality Control Inspector is a residential energy efficiency professional who ensures the completion, appropriateness, and quality of energy upgrade work by conducting a methodological audit/inspection of the building, performing safety and diagnostic tests, and observing the work<sup>47</sup>. QCIs working for, or contracted by, the Weatherization Assistance Program must possess the knowledge, skills and abilities listed in the National Renewable Energy Laboratory Job Task Analysis for QCIs as mandated in the U.S. Department of Energy Weatherization Program Notice 15-4. **[NOTE – this term is also often used interchangeably with Quality Control Inspection]**

**QC Inspection** A Quality Control Inspection must be conducted by a BPI trained Quality Control Inspector. A QC Inspection verifies the work performed against the work, specifications and standards, performs building diagnostics, records/reports findings and concerns, and specifies corrective actions; by conducting a methodological audit/inspection of the building, performing safety and diagnostic tests, and by observing the retrofit work; in order to ensure the completion, appropriateness, and quality of the work providing for the safety, comfort, and energy savings of the building occupants<sup>48</sup>.

**QA** A Quality Assurance inspection is a quality control inspection that is conducted by ODOC on a sampling of units (5-10%) that have received weatherization services and after a local QCI has completed their local QC inspection. It must be conducted by a BPI trained QCI. The exact percentage of homes that must receive a QA is dependent upon whether the Subgrantee Recipient has an independent local QCI or not, as explained in WPN 15 – 4, and later in this Requirement.

**State QCI** A State Quality Control Inspector conducts technical monitoring on behalf of ODOC, the DOE

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<sup>47</sup> Kurnik, C, & Woodley, C. "[National Renewable Energy Laboratory, NREL Job Task Analysis: Quality Control Inspector.](#)" (2011)

<sup>48</sup> Kurnik, C, & Woodley, C. "[National Renewable Energy Laboratory, NREL Job Task Analysis: Quality Control Inspector.](#)" (2011)

WAP and OKDHS LIHEAP Grantee. This is different from a local QCI, who is directly employed by or directly contracted by the Subgrantee Recipient at the local level. 100% of all homes weatherized in a program year must have a local QCI, but only a sampling of 5-10% of the total homes must be inspected by a State QCI.

**WPN** U.S Department of Energy Weatherization Program Notices are official policy and guidelines that must be complied with. They are periodically issued by DOE as needed.

**WX** Abbreviation for Weatherization

**WX Planner** The Weatherization Program Planner for the Oklahoma Department of Commerce is responsible for daily management and implementation of the DOE WAP and DHS LIHEAP WX grants in Oklahoma. The WX planner is also referred to as the Program Manager for DOE WAP purposes.

### III. PROCEDURES

- A. This Requirement provides ODOC, Subgrantee Recipients, and State QCI(s) guidance and requirements for completing and complying with the Quality Assurance Inspection Process. Subgrantee Recipients who have any questions related to the Quality Assurance Monitoring process should contact ODOC using the following email address: [wxqualityassurance@okcommerce.gov](mailto:wxqualityassurance@okcommerce.gov).
- B. In order to ensure that the weatherization work completed in Oklahoma complies with Standard Work Specifications (SWS), US Department of Energy (DOE) and ODOC requirements, DOE requires that ODOC perform QA Inspections on a percentage of a Subgrantee Recipient's completed units. This percentage is determined by the following two situations:
  1. If Subgrantee Recipient's local QCI only completes the final inspection of units, ODOC must perform a QA Inspection on at least 5% of completed homes for the program year.
  2. If a Subgrantee Recipient's local QCI ever completes both the energy audit and final inspection, then ODOC must perform a QA Inspection on at least 10% of completed homes for the program year.

Resources permitting, ODOC anticipates conducting a QA Inspection on a minimum of two (2) homes for each Subgrantee Recipient, per weatherization contract. ODOC may also require a Subgrantee Recipient to receive more QA Inspections than DOE required, if ODOC is concerned about Subgrantee Recipient performance.

- C. ODOC will perform QA Inspections of weatherized, completed units funded with Oklahoma Department of Human Services Low-Income Home Energy Assistance Program funds (OKDHS LIHEAP) as funding permits.
- D. Subgrantee Recipients are required to report completed weatherized units via an OKGrants monthly

progress report by the required 10<sup>th</sup> of each month<sup>49</sup>. This progress report must include a listing of all job numbers of completed homes in the comments section, as per the standardized job format<sup>50</sup>.

- E. Monthly, the WX Planner will evaluate the need for additional QA Inspections. The WX Planner will use the information from Subgrantee Recipients' approved monthly progress reports, to notify the State QCI when a QA Inspection is needed.
  - 1. The State QCI will be provided with the name of the Subgrantee Recipient and job number(s) needing an inspection.
  - 2. Within two (2) business days of ODOC notification, the State QCI is responsible for providing an available date(s), in which he/she is available to complete the QA Inspection(s). The provided dates may not exceed 45 days from the date of QA Inspection request, unless requested by the WX Planner.
  - 3. Once the WX Planner has confirmed the QA Inspection date with the State QCI, the WX Planner is responsible for initiating the OKGrants QA Monitoring Process.
- F. Subgrantee Recipients are required to complete their action steps of the QA Inspection and monitoring process in OKGrants as outlined in the OKGrants QA Monitoring Workflow Instructions and Flow Chart **[Attachment 9, Attachment 10]**.
  - 1. Subgrantee Recipients must respond to QA scheduling requests within two (2) business days.
    - a. If there is a special circumstance in which a two (2) business day confirmation response time for scheduling is not feasible, the Subgrantee Recipient must provide and save written justification in the narrative box of the QA Monitoring Activities Form, making sure to initial and date. The Subgrantee Recipient must then promptly notify their ODOC, within the same two (2) business day response time. Additional follow-up with ODOC may be required.
  - 2. Only two monitoring reschedule requests are allowed per QA.
- G. State QCI(s) are required to complete their action steps of the QA Inspection and Monitoring process in OKGrants as outlined in the OKGrants QA Monitoring Workflow Instructions and Flow Chart **[Attachment 9, Attachment 10]**.
- H. Subgrantee Recipients must upload the following **final** client file documents, in separate PDF files, on the appropriate line in OKGrants, 10 business days prior to the QA Inspection date:
  - 1. Original NEAT or MHEA Audit Report
  - 2. NEAT or MHEA Input (should have the same run date as Audit Report)
  - 3. Form 44

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<sup>49</sup> See CAA Manual Requirement 112

<sup>50</sup> See CAA Manual Requirement 304

4. Form 28
  5. ASHRAE Pre and Post Forms
  6. Form 46 Insulation Summary Sheet (if applicable)
- I. State QCI(s) are responsible for following up with Subgrantee Recipients on client file paperwork submission prior to the QA Inspection. It should be noted in the final QA monitoring report if paperwork was late, incomplete, or missing information without prior approval from ODOC or the ODOC State QCI.
- J. State QCI(s) will conduct all QA Inspections in accordance with the [National Resource Energy Laboratory's Job Task Analysis for Quality Control Inspector](#)<sup>51</sup> [Weatherization Program Notice 15-4](#), the [CAA Manual](#), and current ODOC DOE approved [Weatherization Field Guides](#), unless otherwise approved by ODOC.
1. State QCI(s) will complete the QA sections of Form 28 and Form 44 upon QA Inspection completion.
  2. State QCI(s) will upload a written QA monitoring report and completed Form 28 into OKGrants within 15 days of QA Inspection completion.
  3. ODOC will provide, unless there are extenuating circumstances, a QA Monitoring Report to the Subgrantee Recipient within 30 calendar days from QA Inspection completion. The report will be sent via OKGrants.
  4. State QCI(s) are responsible for reviewing all Subgrantee Recipient submitted corrective actions and providing written follow up monitoring response letters, until the unit meets all DOE and ODOC standards of work.
  5. State QCI(s) will upload a completed and signed Form 44 once the weatherized unit meets all DOE/ODOC requirements. This might be at the time of QA initial report (if no problems found), or after review and approval of all Subgrantee Recipient corrective action, at the time of the final follow-up report submission.
- K. Subgrantee Recipients must upload a written monitoring response letter, within OKGrants, in response to any problems found, by the requested due date in the QA monitoring report. If no corrective action or problems are identified, no response is necessary.
1. Monitoring response letters must be on agency letterhead and must include an Executive Director or Board Chair signature.
  2. **Only an Executive Director or Board Chair (who should have an Authorized Official OKGrants login), is authorized to submit a monitoring response on behalf of their agency in OKGrants.**
  3. A Subgrantee Recipient must ALWAYS submit a written monitoring response letter within

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<sup>51</sup> Kurnik, C, & Woodley, C. "[National Renewable Energy Laboratory, NREL Job Task Analysis: Quality Control Inspector.](#)" (2011).



OKGrants within the requested timeframe. However, if for any reason, additional time is needed to complete a corrective action or the Subgrantee Recipients wishes to dispute any problems, this may be presented for ODOC consideration in the response letter.

- L. Subgrantee Recipients are responsible for submitting any required corrective action to any monitoring findings on or before the due date in the QA monitoring report, unless otherwise authorized by ODOC.
  - 1. Any attachments (for example, pictures of corrective action completed, revised forms, etc.) must be uploaded separately, NOT in the same file as the response letter. Careful attention must be paid to the document name and descriptor on the Uploads page in OKGrants.
  - 2. Any attachments must be labeled as to which problem they are associated with in the monitoring report.
- M. Subgrantee Recipients must use discretionary funds to complete any monitoring corrective actions on a home.
- N. Subgrantee Recipients that are late in submitting a written QA monitoring response letter or corrective action without ODOC written approval, could be given additional monitoring findings and/or corrective action for failure to respond in a timely manner.
- O. Subgrantee Recipients that are not responsive or timely in submitting required monthly progress reports, confirming QA dates, providing any client file paperwork requested by the deadline given, uploading and submitting corrective action, and/or responding to QA monitoring reports by the deadline may be placed on a probationary period or other corrective action as per the Productivity Policy in Contract Part II.
- P. Subgrantee Recipients must ensure that the local QCI, who completed the final inspection, accompanies the State QCI during the QA inspection, unless special permission for other arrangements has been granted by ODOC in writing.

## VI. FORMS

|                |                          |
|----------------|--------------------------|
| <b>Form 28</b> | Energy Audit Form        |
| <b>Form 44</b> | Quality Control Report   |
| <b>Form 46</b> | Insulation Summary Sheet |

## V. ATTACHMENTS

|                      |   |
|----------------------|---|
| <b>Attachment 9</b>  | OKGrants QA Monitoring Workflow Instructions PY18 |
| <b>Attachment 10</b> | OKGrants QA Monitoring Flow Chart PY18            |

## VI. RESOURCES

- U.S. Department of Energy - [Weatherization Program Notice 15 - 4](#)

- Kurnik, C, & Woodley, C. “[National Renewable Energy Laboratory, NREL Job Task Analysis: Quality Control Inspector.](#)” (2011)

## **Section 4 – Head Start Program**

### **Req. 401 – Head Start Program**

#### **IV – HEAD START PROGRAM REQUIREMENT NO. 401 HEAD START PROGRAM EFFECTIVE SEPTEMBER 1, 2014**

##### **I. CONTRACTUAL REQUIREMENT**

Subgrantee Recipients shall establish procedures to comply with the requirements in the Head Start Performance Standards to provide Head Start Services to families and individuals.

##### **II. PROCEDURES**

- A. The state Appropriated Funds for the Head Start Program shall be utilized for one or all of the following primary Head Start Activities:
  - 1. Extended Services: Subgrantee Recipients must document extended services;
  - 2. Expansion of Enrollment: Subgrantee Recipients must show a quantifiable increase in enrollment.
  - 3. Early Intervention Strategies: Intervention services must be documented.
- B. Subgrantee Recipients must participate in an on-site financial/technical review offered by the Oklahoma Department of Commerce (ODOC) through the Oklahoma Association of Community Action Agencies (OKACAA) in the months before they receive a Federal Head Start review and provide a copy of the written report to OKACAA, unless specifically exempted by OKACAA.
- C. Subgrantee Recipients shall submit Head Start Enhancement Activity information at the time of annual application. Any revisions to the work summary shall be submitted to and approved in writing by ODOC.
- D. Subgrantee Recipients shall adhere to all Head Start Performance Standards as dictated by the federal Head Start Program.
- E. Subgrantee Recipients shall provide reports in the required outcome format either through required reporting.

##### **III. FORMS**

None.

## Req. 402 – Head Start Collaboration

### **IV – HEAD START PROGRAM REQUIREMENT NO. 402 HEAD START COLLABORATION PROJECT EFFECTIVE SEPTEMBER 1, 2014**

#### **I. CONTRACTUAL REQUIREMENT**

Subgrantee Recipients shall develop strategies for coordination and linkages between programs or to enhance existing partnerships in support of low-income families across the State.

##### **A. FUNDS MAY NOT BE USED TO:**

1. Supplant on-going collaboration between Head Start grantees and other programs in the State.
2. Provide direct services to Head Start families or other low-income families
3. Provide training or technical assistance to Head Start grantees in carrying out their program responsibilities.

#### **II. PROCEDURE**

Subgrantee Recipients shall establish procedures to comply with the Head Start Act, as amended that supports the Head Start State Collaboration Project; Federal Register Volume 55, No. 117, Monday, June 18, 1990.

##### **A. Subgrantee Recipients SHALL:**

1. Appoint an individual to serve as a State liaison between the Administration for Children and Families and Agencies and individuals carrying out Head Start Programs in the State.
2. Involve the State Head Start Association in the selection of the individual and involve the association in determinations relating to the ongoing direction of the collaboration.
3. Ensure that the individual holds a position with sufficient authority and access to ensure that the collaboration is effective and in values a range of state agencies.
4. Ensures that the collaboration involves coordination of Head Start services with health care, welfare, child care, education, and community service activities, family literacy services activities, relating to children with disabilities and services for homeless children.

#### **III. FORMS**

None.